

# **NATIONAL REGISTRATION DATABASE (NRD™)**

## **USER GUIDE**



**Instructions, Procedures and Guidelines  
for Using the National Registration Database**

**Version 2.0**

**September 2009**

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## CHAPTER 1 - ABOUT THIS MANUAL

### Chapter Outline

This chapter provides an outline of the contents and structure of this manual. Included in this chapter are tips on navigating the manual and a description of the registration instruments relating to NRD.

#### A. About this manual

This manual has been written for those who will be using the National Registration Database (NRD) at [www.nrd.ca](http://www.nrd.ca) to submit applications, notices and registration information to regulators, and to search for and view information on the National Registration Database.

To use NRD, you must be an authorized firm representative for one or more firms. An authorized firm representative or AFR is a person that is authorized by a firm to access information and makes submissions to regulators using NRD regarding that firm and individuals associated with that firm. Authorized firm representatives are described in detail in [Chapter 4 – Authorized Firm Representatives](#). When this manual refers to “you” and “your firm”, it is referring to you in your capacity as an AFR and the firm or firms for which you are acting as an AFR, respectively.

#### B. Organization of this manual

This manual is structured to follow the business flow of your use of NRD. It begins with a description of NRD, how to access NRD and set up other users, how to navigate the system and finally how to make submissions, perform administrative tasks and manage your firm’s information on NRD.

**Screen shots** – The manual is enhanced by images taken from the NRD website, [www.nrd.ca](http://www.nrd.ca). These screen shots help to illustrate the various functions available on the system. You will notice that many images are close-ups of the relevant portions of screens and do not always display the full screen as it appears when you are on the system.

NOTE: The firms, individuals, NRD numbers and other data displayed in the screen shots were created solely for instructional use in this manual. Correlation to real data on NRD is coincidental.

**Image resolution** – when viewing the manual in Acrobat Reader, you may find that some screen shots display with some blurring or distortion. A zoom level of about 125% provides good resolution of most screen images, displays the body of text at a comfortable size for reading, and is small enough to fit the full page width and the navigation window on your screen. You may wish to print the manual as well.

**Terminology** – This manual uses many terms that are unique to NRD. Refer to the [glossary](#) for definitions.

The following is a brief description of each chapter of the manual.

## **Chapter 1 – About this Manual**

This chapter provides an outline of the contents of this manual and describes the registration instruments relating to NRD.

## **Chapter 2 – Overview of the National Registration Database**

This chapter describes the National Registration Database, who can access and use NRD and what registration information is available on NRD. This chapter also describes what registration information must be submitted on NRD and what information must continue to be filed and delivered in paper format. The Permanent Record in NRD and NRD numbers are also explained in this chapter.

## **Chapter 3 – Enrolling your Firm to Use NRD**

This chapter explains firm enrolment on NRD through the completion and delivery of the required enrolment forms to the NRD administrator.

## **Chapter 4 – Authorized Firm Representatives**

This chapter describes the role of an authorized firm representative (AFR) and describes the three types: chief AFRs, AFR administrators and AFRs. This chapter describes how a chief AFR is appointed and explains user IDs, passwords and PINs that are required in order to use the system.

## **Chapter 5 – Fees Collected Through NRD**

This chapter describes the payment of submission fees, annual registration fees and NRD user fees by way of electronic funds transfer. This chapter explains NRD accounts and the authorization by an AFR of fee payments through NRD.

## **Chapter 6 – Navigating the NRD Website**

This chapter explains the various navigation tools on the NRD website.

## **Chapter 7 – Making NRD Submissions**

This chapter explains NRD submissions, NRD submission types, who may make an NRD submission and the procedures for making NRD submissions to regulators.

## **Chapter 8 – Administrative Tools**

This chapter explains the administrative tools features of NRD for performing tasks such as changing passwords, appointing AFR administrators and AFRs, resubmitting fee payments and generating NRD reports for your records.



## **Chapter 9 – Searching for and Viewing Information on NRD**

This chapter explains how to search and view registration information on NRD and describes the retrievable information.

### **Glossary**

The glossary defines commonly used NRD terminology. You will notice throughout the manual some terms highlighted in blue. Click such terms to follow links to either the glossary definition or to pertinent sections elsewhere in the manual.

### **Submission Illustrations**

This section provides step-by-step directions, tips and screen shots of each submission type available on NRD. The submissions are ordered as they appear on the website task menus. To keep this manual at a manageable size, these illustrations do not display every screen you would see during the course of a submission, but the screens unique to a particular submission are included. You will notice that many images are close-ups of the relevant portions of screens and do not always display the full screen as it appears when you are on the system.

### **Form 33-109F4 – Registration Information for an Individual**

This manual includes a copy of Form 33-109F4 – Registration Information for an Individual. The submission illustrations make frequent references to this document. Please refer to the Form especially in referencing the full text of disclosure questions.

This manual also includes NRD Forms 1 – Enrolment of Firm Filer, 2 – Enrolment of Chief Authorized Firm Representative and 3 – NRD Account Holder Authorization, which are the required firm enrolment forms for NRD.

#### **C. How to get copies of this manual**

Copies of this manual in English or French may be downloaded from the NRD website at [www.nrd.ca](http://www.nrd.ca). Click **Help** in the upper right of your screen once you have logged in to NRD.

#### **D. The registration instruments**

The use of NRD is governed by National Instrument 31-102 *National Registration Database* (NI 31-102). The requirements and procedures for providing registration information to regulators are set forth in National Instrument 33-109 *Registration Information* (NI 33-109). These instruments are collectively referred to in this manual as the National instruments. Further details on the National instruments and NRD can be found in Companion Policy 31-102CP and Companion Policy 33-109CP.

Please note, however, that the use of NRD by individuals registered or seeking to be registered under commodity futures legislation in Ontario and Manitoba is governed by each province's Rule 31-509 (*Commodities Futures Act*) *National Registration Database* (Rule 31-509). Further, such

individuals are required to provide registration information to regulators pursuant to each province's Rule 33-506 (*Commodity Futures Act*) *Registration Information* (Rule 33-506).

The National instruments and the provincial rules are collectively referred to in this manual as the registration instruments.

## CHAPTER 2 - OVERVIEW OF THE NATIONAL REGISTRATION DATABASE

### Chapter Outline

This chapter describes the National Registration Database and tells you who can access and use NRD and what registration information you can find on NRD. This chapter also tells you what registration information must be submitted using NRD and what information must continue to be filed and delivered in paper format. The Permanent Record in NRD and NRD numbers are also explained in this chapter.

#### A. The National Registration Database

The **National Registration Database (NRD)** is an electronic database containing registration information for dealers, advisers, underwriters and individuals registered under securities or commodity futures legislation in Canada, and also under IIROC by-laws, or who are otherwise required by such legislation to submit registration information to regulators.

NRD is also a system used by applicants and registrants to submit electronically certain applications, notices and other registration information to regulators. NRD contains registration information with respect to all Canadian jurisdictions.

The database and the system used to submit electronic registration information are accessed using the NRD website located at [www.nrd.ca](http://www.nrd.ca). In this manual, the terms **National Registration Database**, **NRD** and the system are used interchangeably to refer to both the database containing registration information and the system used to submit electronically registration information described above.

This manual refers often to “**firms**”, “**individuals**”, “**registered individuals**”, “**permitted individuals**” and “**regulators**”. See the [glossary](#) for their definitions.

#### B. Hardware and software required to use NRD

You do not require any specialized software or equipment in order to use NRD. All you require is a computer with an Internet connection and an Internet browser as specified below. In order to effectively use NRD, it is recommended that your hardware, operating system and software meet or exceed the following specifications:

- personal computer with a 133 MHz Pentium processor and 32 MB of RAM
- Internet connection and Hayes compatible modem with a minimum speed of 56,000 bps
- Adobe Acrobat reader 4.x for generating reports and viewing this Help Manual online.
- The tested and supported Internet browser software for using NRD are:
  - Internet Explorer 5.5 and 6.0 Netscape 4.7 and 6.2
- The tested and supported operating system for using NRD are:
  - Windows 95, 2000, and NT 4

We suggest a minimum 128-bit encryption for working from a home computer. If required, please consult your technical/IT staff for further instructions.

Any minimum desktop hardware or operating system requirements specified by browser and operating system vendors is the minimum requirement for NRD.

### **C. Hours of operation**

NRD is available every day of the week, from 6:00 am until 1:00 am Eastern Time. The **CDS Help Desk** is available during those hours, except on weekends and statutory holidays.

You will not be able to use the system between 1:00 and 6:00 am. Eastern Time.

### **D. Getting help for the Help Desk**

The NRD Help Desk is available to provide you with assistance when you encounter technical problems with the NRD system. If you have difficulty accessing the system, or receive unexplained error messages, you should contact the Help Desk for assistance.

Phone: 1-800-219-5381

E-mail: **NRDwebmaster@cds.ca**

For questions about the registration process in general, please contact the registration staff at your regulator.

The Help Desk staff needs to have specific information about your technical problem in order to respond to your request quickly and effectively. If possible, please gather the following information before making your inquiry:

- your user ID (not the password);
- submission number (if applicable);
- the NRD # of both the firm and individual involved;
- a description of what action you were taking when the error occurred, including what screen you were using, and the function you were trying to perform (e.g. entering data, searching, etc);
- the time and date when the error occurred;
- a detailed description of any error message. If possible, use your computer's "print screen" function to print the error message screen. Copy it to a Word document to email to the helpdesk;
- operating systems (Windows 95, 2000, NT4).

If you are e-mailing the Help Desk, please ensure your message includes your contact name and phone number.

## **E. Registration functions you can perform using NRD**

NRD was designed primarily to facilitate the submission and storage of registration information relating to individuals. Although NRD allows you to perform registration functions on behalf of both firms and individuals, most of the registration functions you can perform using NRD relate to individuals.

### **1. Functions related to Firm information**

Using NRD, you may perform the following firm functions on-line:

- notify regulators of the opening and closing, address change, status change and location supervisor change of business locations of your firm (Head office changes in paper)
- view information including historical data regarding your firm (legal name, other names, Head Office details, jurisdictions in which the firm is registered and registration categories, terms and conditions, business locations, and annual fee summary, NRS election)
- pay annual registration/renewal fees

### **2. Functions related to Individual information**

Using NRD, you may perform the following individual functions on-line:

- apply for the registration of an individual
- submit information for permitted individuals
- apply for an exemption from proficiency or experience requirements applicable to registered or permitted individuals
- notify regulators of changes to an individual's information
- apply for the reinstatement of the registration of an individual
- apply for multiple employment of an individual with more than one firm
- notify regulators of a termination of an individual's employment
- surrender or change an individual's categories
- perform bulk annual fee exclusions
- search for and view information regarding the individuals associated with your firm

### **3. Administrative Functions**

- set up and maintain authorized firm representatives (AFRs)
- change or reset passwords
- generate reports on submissions, submission fees, registrants and AFRs

## **F. Access to NRD**

The NRD website is a password-protected website that is not currently accessible to the general public. NRD may only be accessed and used by individuals who are authorized to do so by a firm. These individuals include authorized firm representatives (AFRs) as well as individuals who have been granted authorization to use NRD for the limited purpose of completing their own applications for registration on Form 33-109F4. An authorized firm representative or AFR is a person authorized by a firm to access information and make submissions to regulators using NRD regarding that firm and individuals associated with that firm. Authorized firm representatives are described in detail in Chapter 4 – Authorized Firm Representatives.

## **G. Contents of NRD**

NRD contains information about your firm and individuals associated with your firm. Information in NRD exists in one of these three forms:

- The Permanent Record is the NRD term for the current and historical record of information in NRD for a firm or individual and is described below.
- Information that has been prepared by an AFR on the system but that has not yet been submitted to regulators using NRD is a work in progress and is described in Chapter 7 – Making NRD Submissions.
- Information that has been submitted to regulators using NRD, but that has not yet been processed by regulators, constitutes the AFR's sent to regulators list and is also described in Chapter 7.

### **1. The Permanent Record**

The Permanent Record for a firm or individual is created from the information submitted to regulators using NRD or filed or delivered in paper format, as the case may be. The permanent record includes all information that has been submitted to and approved by the regulator. You will know information has been accepted by the regulator when you retrieve the firm's or individual's Permanent Record and see the changes there. You may also perform a search on the relevant submission, and view the Submission History, which indicates whether regulators have accepted the information you submitted.

For an individual, the Permanent Record will initially consist of the information submitted on Form 33-109F4, after regulators process and accept the information. For a firm, the Permanent Record will initially consist of certain information filed in paper format on the firm's initial application for registration on Form 3, together with business location information for that firm submitted to regulators using NRD, after the application is approved by regulators. The Permanent Record for both individuals and firms can be amended through later submissions. Any changes to the Permanent Record are reflected as historical information.

Searching for and viewing information in the Permanent Record for a firm or individual is described in [Chapter 9 – Searching and Viewing Information on NRD](#). An overview of the information you can find in the Permanent Record for firms and individuals is provided below. For a more detailed description, please see [Chapter 9](#).

## **2. Firm information – Permanent Record**

The Permanent Record of your firm does not contain most of the information that your firm is required to disclose to regulators on its initial application for registration in a province or territory of Canada. The firm's Permanent Record contains the following information, both historical and current:

- Legal and other names used by your firm;
- NRS election with Head Office (if applicable);
- Head Office and other business locations of your firm;
- Categories of registration in which your firm is registered (this includes registration status);
- Address and agent for service (optional);
- Terms and conditions on your firm's registration (if applicable); and
- A summary of the annual registration and NRD user fees paid by your firm (if applicable).

The Permanent Record also includes any regulatory actions taken against the firm. This information can be viewed for each province and territory in which your firm is registered through the registration categories.

## **3. Individual information – Permanent Record**

The Permanent Record contains information regarding each individual associated with your firm. This information consists of all the information required to be submitted to regulators for an individual on Form 33-109F4, including any updates. The individual's Permanent Record includes the following information:

- the legal and other names used by the individual;
- residential address;
- personal information;
- citizenship;
- jurisdictions of registration and individual categories (this includes registration status);
- sponsoring firm information;
- proficiency;
- employment information;
- regulatory, criminal, civil and financial disclosures (if applicable);
- related securities firm information; and

- terms and conditions on an individual's registration (if applicable)

The Permanent Record also includes any regulatory actions taken against the individual.

## **H. Requirements to submit information to regulators through NRD and in paper format**

NRD does not completely eliminate the need for firms and individuals to file or deliver certain registration-related applications, supporting materials and notices in paper format. In general, most information regarding firms, including an initial application for registration as a dealer, adviser or underwriter, must be filed or delivered in paper format, while most information regarding individuals, including information on Form 33-109F4, must be submitted in electronic format using NRD. See NRD submission in the glossary for more information.

### **1. Registration information that must be submitted to regulators using NRD**

The following registration information must be submitted to regulators electronically using NRD and, if applicable, in the forms set out below:

- Information regarding a firm's locations
- Individual applications for registration
- An application for an exemption from proficiency or experience requirements applicable to registered and permitted individuals. (You may use NRD for this application only if the individual in question is associated with your firm on NRD.)
- A notice of any changes to an individual's information
- An application to reinstatement of registration of an individual
- A notice of termination of an individual's employment
- A surrender or change of individual categories
- An notice to exclude individuals from the annual fee calculation

The information referred to above must be submitted to regulators using the appropriate NRD submission types. These submission types are described in Chapter 7 – Making NRD Submissions and in the submission illustrations included in this manual.

### **2. Registration information that must be filed or delivered to regulators in paper format**

The following registration information must be filed or delivered to regulators in paper format:

- An application for registration as a dealer, adviser or underwriter on Form 3 and all supporting documents in connection with such an application
- A notice of any changes to a firm's information contained on Form 3, including Head Office information. Use NRD to change information on a firm's Branch and Sub-Branch locations.
- A notice of amalgamation or merger of a firm with another firm



- An application for membership with the Investment Industry Regulatory Organization of Canada or the Mutual Fund Dealers Association of Canada
- Any potential supporting documents required to accompany an individual's application for registration (e.g. financial disclosure)
- NRS Form 31-101F1 – Election to use the NRS and Determination of Principal Regulator
- NRS Form 31-101F2 – Notice of Change

Firms and individuals must continue to file or deliver information to regulators in paper format in the manner required by applicable securities and commodity futures legislation.

## **I. Supporting documents**

Certain submission types or sections of submissions require supporting documents. Supporting document requirements are at the discretion of the regulator. If you are sending a supporting document to regulators, include a covering letter and submit the document to regulators within 5 business days of sending the pertinent submission to regulators on NRD.

Include the following information in the covering letter:

- (1) NRD submission number
- (2) NRD number of the individual
- (3) Full legal name of the individual
- (4) NRD number of the sponsoring firm
- (5) Full legal name of the sponsoring firm
- (6) Reference to the supporting document being submitted
- (7) Signature of an authorized firm representative, branch manager or partner, director or officer of the firm.

### **1. Registration information that must be filed with regulators in paper format in support of an NRD submission**

When an applicant or registrant has answered "Yes" to the following financial disclosure items, the lead jurisdiction will require the applicant to provide the following supporting documents:

Financial Disclosure: (Item 16 of Form 33-109F4/Form 33-506F4): Item 16 includes the following 4 sections:

#### **(a) Item 16, 1(a) – Bankruptcy**

If the applicant or registrant has ever declared personal bankruptcy, the applicant or registrant must submit a Statement of Affairs to the regulator. If the applicant or

registrant has been discharged from the bankruptcy, the applicant or registrant must also submit a copy of the discharge to the regulator.

**(b) Item 16, 1(b) – Bankruptcy**

If the applicant or registrant has made a proposal under legislation relating to bankruptcy or insolvency, the applicant or registrant must submit a copy of the proposal and a Statement of Affairs.

**(c) Item 16, 1(c) – Bankruptcy**

If the applicant or registrant has been subject to proceedings under any legislation relating to the winding up, dissolution or companies' creditors arrangement, the applicant must submit documentation relating to these proceedings.

**(d) Item 16, 1(d) – Bankruptcy**

If the applicant or registrant has been subject to or instituted any proceedings, arrangement or compromise with creditors, the applicant must submit documentation relating to these proceedings.

**(e) Item 16, 2 – Solvency**

Regulators will have the discretion to request a supporting document based on the disclosure provided by the applicant or registrant.

**2. Non-Duplication of Filing Requirements**

Supporting documents will be filed by firms only with the lead jurisdiction or Principal Regulator. Firms will file supporting documents with both the applicable commission and IIROC in non-delegated jurisdictions.

The non-lead jurisdictions/non-principal will not ask for duplicate documentation from the firm or filer.

**J. Lead and non-lead jurisdictions**

Because NRD is a single database shared by all regulators, there is a need for a single designated jurisdiction to take the “lead” on entering and updating certain information about firms whose Head Offices are in their jurisdiction. A lead jurisdiction is required for those firms whose Head Office is outside of a participating jurisdiction.

**1. How is the lead jurisdiction determined?**

If your Head Office is located in Canada, then the lead jurisdiction for a firm is determined by the location of the firm’s Head Office.

If your firm has a Head Office outside of Canada, the firm's lead jurisdiction is determined by a weighting of the provinces/territories in which the firm is applying to register. The weighting is based on the population of each province or territory, as follows:

- Ontario
- Quebec
- British Columbia
- Alberta
- Manitoba
- Saskatchewan
- Nova Scotia
- New Brunswick
- Newfoundland and Labrador
- Prince Edward Island
- Northwest Territories
- Yukon
- Nunavut

EXAMPLE – For a firm applying to register in New Brunswick, Ontario and British Columbia with a Head Office in New York, the lead jurisdiction is Ontario and the non-lead jurisdictions are New Brunswick and British Columbia.

The lead jurisdiction for an individual is determined by that individual's place of residence.

## **2. How is Principal Regulator determined under NRS?**

The determination of Principal Regulator is specified in National Policy 31-201, Part 3.

## **K. NRD numbers**

**An NRD number is a unique number generated by NRD to identify a firm, individual or business location.**

### **1. NRD numbers for firms and individuals**

A firm's NRD number is generated by the system when the NRD administrator creates its record on the system. Whenever you login to the system as an AFR for your firm, the firm's legal name and NRD number are displayed in blue text near the top of your screen. If you are AFR for more than one firm, you select the firm in which you wish to work from the Firm List that appears after you login. Firm NRD numbers end in a '0'.

The screenshot shows the NRD system interface. At the top, there is a navigation bar with the NRD logo and links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a menu bar with buttons for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The main content area displays the firm name '20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.' with the number '20240' circled in red. Below the firm name is a 'Task Menu' with links for Firm Submission, Individual Submission, Search, Work In Progress, Sent To Regulators, Firm Information, and Admin Tools. At the bottom, there is a breadcrumb trail: FIRM SUBMISSION | INDIVIDUAL SUBMISSION | SEARCH | WORK IN PROGRESS | SENT TO REGULATORS | FIRM INFORMATION | ADMIN TOOLS.

A firm's NRD number may be displayed in either the upper left or upper right corner of your screen, while an individual's NRD number will be displayed in the upper left corner of your screen.

The screenshot shows the NRD system interface for an individual submission. The navigation bar and menu bar are the same as in the previous screenshot. The main content area displays the individual's name '24631 - brown, joan' with the number '24631' circled in red. To the right of the name, the text '7610 - CSAIDA Firm35' is displayed, also circled in red. Below the name, there are buttons for 'Re-Assign Submission' and 'Complete Submission'. The text 'Complete Submission - 20025400 - Individual Name Change' and 'Confirmation' is visible below these buttons.

The system generates the NRD number for an individual when you create an Initial Registration for that individual. This NRD number is assigned to the individual even before you send the submission to regulators. However, one cannot search for an individual's NRD number until the initial submission is approved since there is no permanent record for that individual. (See Chapter 9, Searching for and Viewing Information on NRD).

When you perform searches and prepare certain submissions, the system will require you to enter or give you the option of entering an individual NRD number in an input field provided on your screen.

You must indicate an individual's NRD number on all correspondence and supporting materials filed or delivered to regulators in paper format that relate to a submission for that individual.

Individual NRD numbers end in a '1'.

AFRs are not assigned NRD numbers by the system. Rather, AFRs are assigned user IDs as outlined in Chapter 4 – Authorized Firm Representatives.

## **2. NRD numbers for business locations other than Head Office**

The system generates an NRD number for a business location when you first create a submission to Open a Location. This NRD number is assigned to the business location even before you send the submission to regulators. The NRD number can be viewed in your Work in Progress section and later, in your Sent to Regulators section (See illustrations above). This number can also be used to retrieve location information during a search or during certain firm and individual submissions (e.g. Location Address Change, Employment Location Change, etc.)

Location NRD numbers end in a '2'.

## **3. NRD numbers for Head Office and Address and Agent for Service**

The system automatically generates it when the regulators enter this information for your firm. They are unique for the firm's NRD number. There is no notice on NRD to change Head Office Information or Address and Agent for Service. Contact your regulator for instructions on making changes outside the system.

## **L. NRD submission numbers**

The system assigns each NRD submission an NRD number. The system assigns the number when you create the submission. This number can be viewed through Work in Progress, Sent to Regulators sections (See illustrations above) and individual search. You may perform searches by submission number, as described in Chapter 9 – Searching and Viewing Information on NRD.

You must indicate the NRD submission number (and individual NRD number, if applicable) on all correspondence and supporting materials filed or delivered to regulators in paper format that relate to that submission.

## **M. Communication with regulators outside NRD**

NRD allows you to submit certain applications, notices and registration information to regulators electronically. NRD does not replace other means of communicating or corresponding with regulators with respect to registration matters. While you are encouraged to make use of this manual to instruct yourself and your staff on the practical use of the NRD website, you should continue to contact appropriate staff of regulators by telephone, fax or e-mail in connection with registration matters relating to your firm or individuals associated with your firm (e.g. deficiency or approval notification), whether or not those matters relate to the use of NRD. All correspondence from regulators to you and your firm, including comment letters on application materials or submissions, will continue to be sent by mail, fax or e-mail, depending on local practice in each province and territory.

## CHAPTER 3 - ENROLLING YOUR FIRM TO USE NRD

### Chapter Outline

This chapter tells you how to enrol your firm to use NRD by completing and delivering the required enrolment forms to CDS INC., the NRD administrator.

#### A. Introduction

All firms are required to enrol to use NRD to submit applications and notices to regulators using NRD. Enrolling your firm to use NRD is different from applying for registration or for membership with the Investment Industry Regulatory Organization of Canada or The Mutual Fund Dealers Association.

When your firm enrolls to use NRD, your firm is establishing on the system its initial record of information.

#### B. When to enrol your firm to use NRD

Your firm is required to enrol only once with the NRD administrator to use NRD. Therefore, if your firm is registered in at least one province or territory of Canada to use NRD and is seeking registration in another province or territory of Canada it will not be required to enrol to use NRD a second time.

#### C. How to enrol to use NRD

To enrol to use NRD, your firm must:

- appoint one person to act as the chief authorized firm representative (chief AFR) for your firm; that person must accept the appointment
- maintain one account with a member of the Canadian Payments Association from which fees will be paid in NRD by pre-authorized debit (unless an exemption is granted)
- complete and deliver to the NRD administrator the NRD enrolment forms described below, together with any required fees and a copy of your firm's incorporating documents or, if your firm is not a corporation, other documents issued by the applicable governmental office confirming the legal name of your firm
- Foreign Advisers should contact the regulator in the jurisdiction where they seek NRD enrolment for specific information and requirements.

## 1. NRD enrolment forms

There are three NRD enrolment forms that must be completed in order for your firm to enrol to use NRD. These forms are available on the NRD website at [www.nrd-info.ca](http://www.nrd-info.ca).

You are required to deliver the following enrolment materials:

- NRD Form 1 – Enrolment of Firm Filer
- NRD Form 2 – Enrolment of Chief AFR
- NRD Form 3 – NRD Account Holder Authorization
- Articles of incorporation or any other document issued by a governmental office confirming the legal name of the firm
- Applicable Fees (payable to CDS INC.) - \$500 + GST
- Void cheque for NRD account (from which submission, annual and user fees will be electronically withdrawn) unless exemption is granted

All items must be delivered together, by prepaid mail or personally to CDS INC.,  
Attention: NRD Administrator, 85 Richmond Street West, Toronto, Ontario, M5H 2C9.

The three forms are described below.

### (a) NRD Form 1 – Enrolment of Firm Filer

This form requires your firm to provide certain basic information regarding your firm, including your firm's name, address particulars of the appropriate contact person at your firm, and financial institution details for the account to be used to make payments in NRD by electronic pre-authorized debit purposes. Your firm confirms the appointment of a chief AFR by completing section 2 of this form. This form also contains the terms and conditions of use of NRD. This form must be signed by authorized signatories of your firm.

### (b) NRD Form 2 – Enrolment of Chief Authorized Firm Representative

This form requires a person being appointed as a chief AFR to provide certain basic information regarding that person, including name, phone number, fax number and e-mail address particulars. This form must be completed and signed by the person enrolled as chief AFR for your firm if that person is being enrolled as a chief AFR for the first time or if that person previously acted as the chief AFR for a firm but is not acting as the chief AFR for any firm at the time of being enrolled.

If the person being enrolled as the chief AFR for your firm is currently a chief AFR with another firm, this form need **not** be completed and submitted to the NRD administrator in order to enrol your firm to use NRD. In these circumstances, if the person wishes to use the same user ID as s/he uses as a chief AFR with another firm, s/he can do so by providing that user ID to the firm enrolling her/him as a chief AFR. A chief AFR also indicates on the form the PIN s/he has chosen for the purposes of logging in to the system for the first time.

(c) **NRD Form 3 – NRD Account Holder Authorization**

This form requires the entity (which may be your firm itself) paying fees through NRD on behalf of your firm and individuals associated with your firm to provide particulars of the address and financial institution account of that entity for the purposes of electronic pre-authorized debits. This form must be completed and signed by the payer who will be paying fees for your firm by electronic pre-authorized debit.

**2. Enrolment Fees**

The NRD enrolment fee of \$500 + GST is payable by paper cheque, to the order of CDS INC. This cheque must be payable in Canadian funds. Please submit this cheque along with the NRD enrolment forms.

The NRD enrolment fee of \$500 + GST is payable by paper cheque, to the order of CDS INC. This cheque must be payable in Canadian funds. Please submit this cheque along with the NRD enrolment forms.

**3. Confirmation of Enrolment to use NRD**

(a) **Confirmation of set-up by NRD administrator**

After your firm delivers the NRD enrolment forms, other required documents and fee to the NRD administrator, the NRD administrator will set up your firm on the system. Set-up is performed by the NRD administrator on the basis of the contents of the enrolment forms delivered by your firm. No record of information about your firm will exist on NRD until the NRD administrator has set up your firm on the system.

After the NRD administrator has set up your firm, the chief AFR for your firm will receive a confirmation from the NRD administrator (by fax or e-mail) that confirms that your firm has been set up on the system. This confirmation will set out the name and NRD number of your firm, as well as the name, telephone number, fax number and e-mail address of your firm's chief AFR. This confirmation should be checked for accuracy by the chief AFR for your firm.

If the chief AFR is being enrolled as a chief AFR for the first time or is not acting as a chief AFR for another firm at the time of being enrolled, the confirmation will also contain the user ID and initial password of the chief AFR. The chief AFR's PIN will not be referred to in the confirmation received by the chief AFR.

Once the chief AFR has received confirmation that your firm has been set up on the system, your firm's chief AFR will be able to access NRD



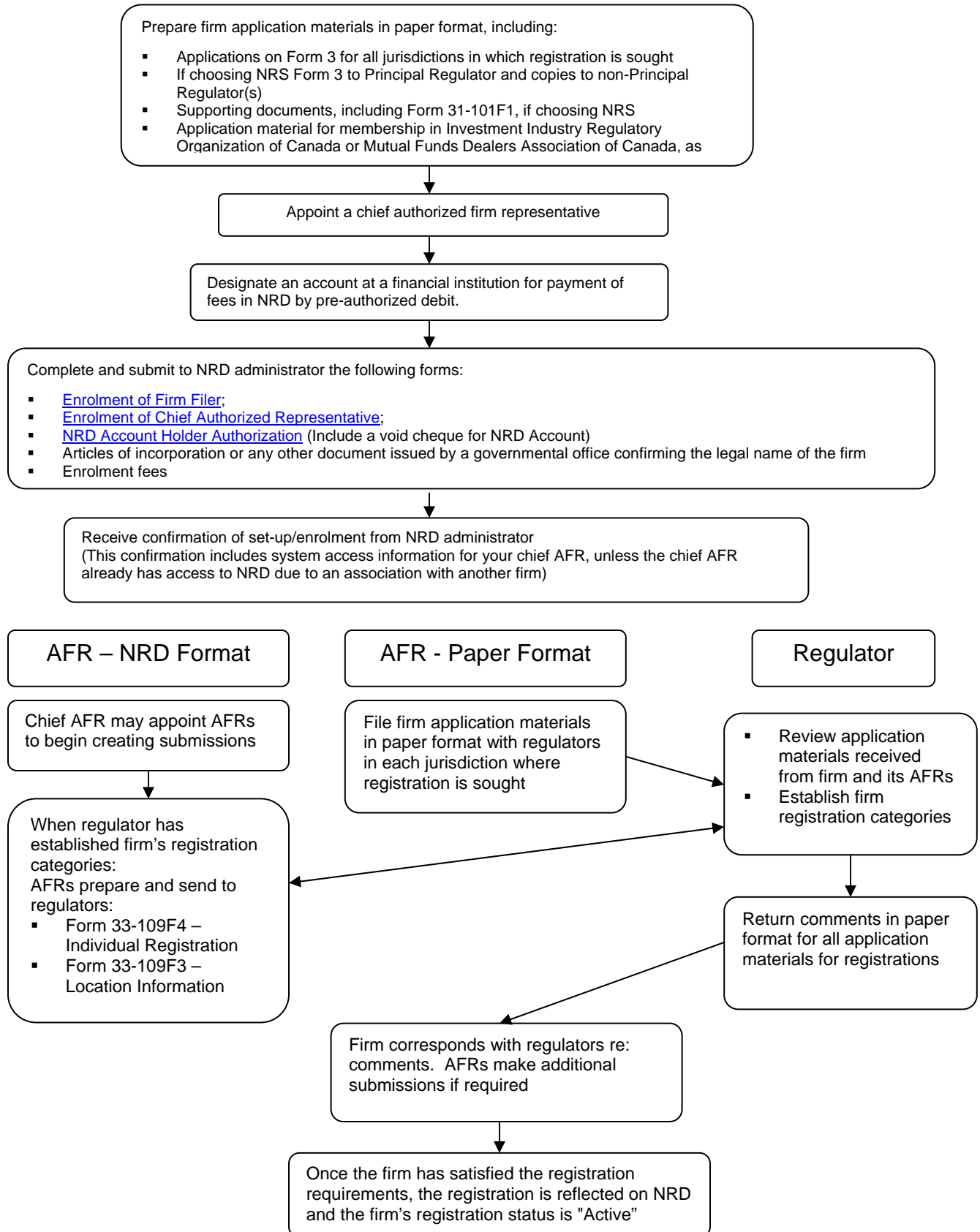
**(b) Establishing categories**

After your firm has been set up on the system by the NRD administrator, the regulators will review your firm's application materials and confirm the registration categories in which your firm is seeking registration. Regulators input your firm's registration categories on NRD.

While your firm is awaiting notification from regulators that applicable regulators have reviewed your firm's application materials, AFRs may commence the process of making required NRD submissions to regulators.

See Chapter 7 – Making NRD Submissions.

## Flow of Actions for a Firm Applying for Registration as a Dealer, Adviser, or Underwriter



## CHAPTER 4 - AUTHORIZED FIRM REPRESENTATIVES

### Chapter Outline

This chapter describes the role of an authorized firm representative and describes the three types of authorized firm representative: the AFR, the chief AFR and the AFR administrator. This chapter describes how a chief AFR is appointed and introduces the concepts of user IDs, passwords and PINs that are required in order to use the system.

#### A. Authorized firm representatives

##### 1. Role of authorized firm representatives

An authorized firm representative or AFR is a person who is authorized by a firm to access information and make NRD submissions to regulators in respect of that firm and individuals associated with that firm. Only authorized firm representatives and, in limited circumstances (which are described in Chapter 7 – Making NRD Submissions), individual applicants may access and use NRD.

You may not access information on NRD regarding other firms or individuals associated with those firms, nor may you make submissions on their behalf, unless you are an AFR for those firms.

There are four types of authorized firm representatives for NRD purposes:

- chief authorized firm representative
- authorized firm representative administrator
- authorized firm representative
- individual applicant

##### Appointment of Chief AFR

A chief authorized firm representative or chief AFR is a representative who has accepted a firm's appointment to act as that firm's highest-ranking authorized firm representative. This person, in addition to being able to perform all the functions of an AFR, is able to perform additional functions including:

- Granting and revoking user IDs and passwords to persons that will act as AFRs and AFR administrators for a firm in order to permit those persons to access and use NRD
- Resetting passwords and maintaining user profile information for AFR administrators and AFRs
- Accessing the submissions of all AFRs of a firm
- Re-assigning submissions from one AFR to another
- Co-ordinating and delivering firm enrolment materials to the NRD administrator

- Receiving on behalf of the firm: notices, confirmations and other correspondence from the NRD administrator

An authorized firm representative administrator or AFR administrator is an authorized firm representative that, like a chief AFR, also has an enhanced level of access to the system. An AFR administrator may perform all the same NRD functions as a chief AFR.

Neither chief AFRs nor AFR administrators may revoke access or reset passwords or change the legal name of a chief AFR. These actions must be performed by the NRD administrator.

There is **no functional difference between the Chief AFR and AFR administrators on the NRD site**. Both have access to all NRD functions. The difference in these two roles is in their activities and responsibilities outside of NRD. For example, it is the chief AFR who is contacted by the NRD administrator on questions regarding payment of annual fees. The chief AFR is the first point of contact between the firm and the NRD administrator, and therefore has the highest responsibility among the AFRs of the firm.

An authorized firm representative or AFR has access to the system for the purposes of performing the basic functions of an authorized firm representative for a firm, namely making submissions on behalf of the firm and individuals associated with the firm, as well as searching for and viewing information on NRD. AFRs can change their own password, resubmit fee payments and generate all report types, but they do not have access to the other admin tools.

An individual applicant may be assigned an i.d. and password by an AFR for the purposes of completing their own submission for initial registration. The individual applicant only has access to their own submission in Work In Progress and can change their password. When the individual completes the submission and sends it to the AFR, their i.d. is automatically revoked.

<b>NRD Functions and Features Access</b>	<b>Chief AFR</b>	<b>AFR Admin</b>	<b>AFR</b>	<b>Individual Applicant</b>
Firm Submission	<b>All have access</b>			
Individual Submissions	<b>All have access</b>			
Search	<b>All have access</b>			
Work in Progress	<b>All have access</b>			<b>4 Own submission</b>
Sent to Regulators	<b>All have access</b>			
Firm Information	<b>All have access</b>			

<b>NRD Functions and Features Access</b>	<b>Chief AFR</b>	<b>AFR Admin</b>	<b>AFR</b>	<b>Individual Applicant</b>
Admin Tools – Set Up Users	4	4		
Admin Tools – Maintain Users	4	4		
Admin Tools – Change Password	4	4	4	4
Admin Tools – Reset Password	4	4		
Admin Tools – Revoke Access	4	4		
Admin Tools – Resubmit Fee Payment	4	4	4	
Admin Tools – Reports	4	4	4	

Unless otherwise specified, the term AFR is used in this manual to refer to all AFR types in general.

## **2. Requirements to appoint the chief AFR, AFR administrators, and AFRs**

Every firm is required to appoint a person to act as a chief AFR for the firm. Every firm must have one person acting as a chief AFR at all times. A firm is not required, however, to appoint one or more AFRs or AFR administrators. The system provides firms with the ability to appoint AFRs and AFR administrators to allow firms to distribute the registration workload among several AFRs as desired. There is no limit to the number of AFRs a firm has, as long as there is always a chief AFR.

## **3. No limit on the number of firms for which you can be an AFR**

There is no limit on the number of firms for whom an AFR may act, whether they act as chief AFRs, AFR administrators or AFRs. For instance, lawyers, paralegals or other professionals in private practice may act as AFRs for more than one firm. However, the AFR must play the same role (i.e., chief AFR, or AFR administrator, or AFR) across her/his various firms if s/he is using a single user ID.

If you are an AFR for more than one firm and are using a single user ID, the system will present you with a Firm List whenever you log in to the system.

## **B. Revoking an existing chief AFR and Appointing a new chief AFR**

A firm may revoke a person's appointment as a chief AFR and enrol a new chief AFR at any time by completing a new NRD Form 1 – Enrolment of Firm Filer, and identifying on NRD Form 1 and Form 2 that it is a Change to Previous Filing for the Appointment of a new chief AFR, and NRD Forms 1 and 2, if required. The change may be a result of staff changes. The firm should include on the form(s) the name and particulars of the new person whose appointment as a chief AFR is being confirmed. The firm should deliver the form(s) to the NRD administrator at the address set out above. Only a firm may revoke a person's appointment as a chief AFR.

After the NRD administrator has received NRD Form 1 and NRD Form 2, if required, and has set up the change in NRD, the access to the system of the person whose appointment is being revoked will be terminated with respect to the relevant firm. Revoking the appointment of a person as a chief AFR for one firm does not affect that person's status as a chief AFR for other firms.

A chief AFR can change her/his own password using **Change Password** and can change her/his own contact information using **Maintain Users** on NRD, but to update her/his own name, s/he must complete a new NRD Form 1 and 2 in paper format and submit it to the NRD administrator along with proof of name change.

It is the firm's responsibility to ensure that the NRD Administrator is advised of any changes to the Chief AFR's contact information.

If the user id of a Chief AFR needs to be revoked, outstanding submissions in their Work In Progress must be reassigned:

- Search for submissions by name of old CAFR ("current" instead of "all")
- New CAFR reassign submissions of old CAFR using local navigator

## CHAPTER 5 - FEES COLLECTED THROUGH NRD

### Chapter Outline

This chapter describes the payment of fees by way of electronic pre-authorized debit. This chapter introduces the concepts of an NRD account and the authorization by an AFR of fee payments through NRD.

#### A. Payment of submission fees, annual registration fees and annual NRD user fees

The fees payable by Firms include regulatory fees and fees for the use of NRD. They are:

##### 1. Submission Fees

Applications for registration, notices or amendments sent to regulators using NRD may have a fee prescribed by securities and/or commodity futures legislation and under IIROC by-laws. The fees collected at the time the submission is sent may go directly to the commission and/or to the IIROC, as applicable. NRD facilitates submission fees being paid to both the commission and IIROC when applicable.

If fees are payable in connection with a particular submission sent to regulators using NRD, the system in most cases will determine the fees payable by the firm at the time that the submission is to be sent to regulators. This determination is based on the fee schedule in effect in each of the provinces and territories in which the submission is being made and under IIROC by-laws, as applicable.

In some circumstances NRD will not automatically determine the fee. In these situations firms will be advised of the fee outside of NRD.

In addition to the fees currently prescribed under securities legislation, a Firm will be required to pay a fee for each individual who is applying for registration in a single jurisdiction to the system administrator. An additional fee is payable by the Firm for each additional jurisdiction (up to a total of 6 jurisdictions) to which the individual applies. A permitted individual will also be charged a fee, irrespective of the number of jurisdictions in which the Firm is registered.

When an AFR sends a submission to regulators using NRD, the Complete Submission process includes a submission fee summary screen for the user to review and acknowledge before proceeding. The summary includes a breakdown of fees by jurisdiction and NRD user fees (if applicable).

- Initial Registration
- Registration in an Additional Jurisdiction
- Reactivation of Registration

The user fee is based on the number of jurisdictions in which the individual is registered with your firm, to a maximum of 6 jurisdictions.

## **2. Annual Registration Fees**

Under applicable securities and/or commodity futures legislation, Firms must also pay annual registration fees to regulators in the participating jurisdictions in which they are registered and to the IIROC if applicable to maintain registration. Annual fees are withdrawn from your account, per jurisdiction based on applicable securities and/or commodity futures legislation. These fees are payable December 31 of each year.

The firm may use the Bulk Annual Fee Exclusion/Reversal submission until December 31<sup>st</sup> of a given year to exclude individuals from the December 31 annual fee payment. Each year, the CSA will advise registrants of the hour on the 31<sup>st</sup> after which the system will become unavailable for submission. If the firm uses this submission, the firm must file one of the following submissions for each individual who is excluded from the Annual Fee calculation:

- Notice of Termination (if the individual will no longer be employed at your firm); or
- Change or Surrender of Individual Categories (if the individual is only surrendering registration in one or some jurisdictions, but will still maintain registration with your firm in at least one jurisdiction).

Note that Membership fees paid to the IIROC will be collected annually outside of NRD.

## **3. Annual NRD User Fee**

NRD user fees are paid by Firms annually to the NRD administrator on December 31. The annual NRD user fee is listed in the December 1<sup>st</sup> Preliminary Annual fee summary and is included in the total fee pulled in the December 31<sup>st</sup> annual fee pull.

## **B. EFT and the NRD account**

Part 4 of National Instrument 31-102 National Registration Database requires Firms to pay submission fees, annual registration fees and NRD user fees by electronic funds transfer (EFT)

Electronic Funds Transfer is the transfer of funds through electronic pre-authorized debit. It authorizes a financial institution to debit or credit the firm's NRD account.

For NRD purposes, the payees consist of the regulators in each province and territory of Canada, the Investment Industry Regulatory Organization of Canada and the NRD administrator. EFT is initiated through NRD.

NOTE – Every AFR appointed by your firm has the ability to cause your firm's NRD account to be debited by virtue of her/his ability to make NRD submissions to regulators, since any



applicable submission fees will automatically be debited from that account at the time of submission. This is the case whether or not the NRD account is an account in the name of your firm or in the name of a third party.

NRD has been designed to calculate fees and create an EFT file for transmission to the Bank of Montreal (BMO) for collection and distribution to the applicable regulators and/or NRD administrator.

Some firms, such as foreign advisers, may seek exemption from EFT on NRD. Contact the regulator in the jurisdiction where you intend to do business for more information. Contact information is maintained at <http://nrd-info.ca/en/contact.htm>.

## **1. Payment status definitions**

### **(a) Created**

The payment has been acknowledged by the AFR who completed and sent to regulators the submission in question, and is being processed.

### **(b) Exchanged**

The payment has been successfully picked up through the EFT process and an EFT file has been created to be sent to BMO for processing. The status "Exchanged" represents the day the particular transaction is posted on the firm's account. Reconciliation should always be done using the "Exchanged" status.

### **(c) Paid**

The payment has been successfully processed; the amount acknowledged by the AFR who completed the submission in question has been debited from the firm's NRD account.

NOTE: In circumstances where there has been a Returned payment, "Paid" is still used to indicate that the transaction is complete. That is, the EFT steps have been completed, even if the funds were not necessarily collected from the firm. Therefore, it is best to refer to the "Exchanged" status for reconciliation purposes.

### **(d) Returned**

The payment was not successfully debited from the firm's NRD account due to non-sufficient funds.

### **(e) Rejected**

The payment was not successfully debited from the firm's NRD account due to an error such as incorrect account information.

### **(f) Reversed**

The payment was reversed through a request of firm's financial institution.

## **2. Submission fee status definitions**

The submission fee statuses include Created, Paid, Returned and Rejected, as well as:

### **(a) Exempt**

Fees that might normally be applied to a submission are not applied.

### **(b) No charge**

No charge is applicable to the submission type.

## **3. Process for rejected/returned payments**

If a payment has been rejected or returned, the NRD administrator will contact the chief AFR to advise on the payment status and on the nature of problem. The chief AFR should address any issue with the NRD account and resubmit the payment (see Resubmit Fee Payment in Chapter 8 – Administrative Tools). If resubmitted payment is returned or rejected again, the NRD administrator will contact the applicable regulator(s) and the chief AFR.

## **C. Calculation of submission fees by the system**

As part of the Complete Submission process on NRD, the system calculates and displays the total fees as allocated and payable to regulators in each province or territory in which the submission is being made and/or to the NRD administrator. NRD bases this calculation on the fee schedule in effect in each of the provinces and territories in which the submission is being made. See Chapter 7 – Making NRD Submissions for more details.

The firm's NRD account will not be debited the amount shown on the fee calculation screen until the AFR acknowledges the amount listed and finishes the Complete Submission process by sending the submission to regulators.

Some fees are calculated outside the system and are communicated to the AFR by the Regulator. In this case you would use the resubmit payment function in the Admin Tools section of NRD, and select to "Resubmit additional funds directly related to a submission or annual fee renewal". See Chapter 8 – Administrative tools for more details.

## **D. Reconciliation reports**

To reconcile your firm's records of its NRD account with NRD's record of fees debited from that account, you may generate reconciliation reports using the "**Administrative Tools**" function in NRD. These reconciliation reports will show you NRD's record of the amounts that were debited from your firm's NRD account for the purposes of paying submission fees, annual registration fees or NRD user fees. The two reconciliation report types available on NRD are:

**1. Reconciliation Report by Submission**

This report lists submissions according to your criteria made by your firm over a specified period that shows the fee amounts paid in respect of submissions and the status of those payments.

**2. Reconciliation Report by EFT**

This report lists electronic authorized debits from your NRD account, according to your criteria, showing amounts debited and credited over a specified period.

See Reports in Chapter 8 – Administrative Tools for more information on generating reconciliation reports.

**E. Requests for refunds**

NRD automatically debits your firm's NRD account for the purposes of paying submission fees, annual registration fees and NRD user fees. Once a submission has been sent, the EFT process cannot be reversed. Any corrections to the fees payable by your firm will be dealt with by way of manual refunds made outside the system. Contact your regulator for more information.

**F. Late filing fees**

NRD does not calculate late filing fees. If your firm owes late filing fees to a regulator, the regulator will communicate the late charge to the AFR outside the system (i.e. by telephone or email, as specified in the AFR's user profile when s/he was set up on the system).

The regulator communicating late filing fees to an AFR will provide you with the following information and instruct you to use the Resubmit fee payment function on NRD:

- Reason for the late fee
- Applicable NRD submission number
- Amount due to late filing
- Due date for submission of late funds through NRD (see Resubmit fee payment in Chapter 8)

## CHAPTER 6 - NAVIGATING THE NRD WEBSITE

### Chapter Outline

This chapter tells you how to navigate the NRD website using the navigators found on the system.

#### A. The NRD website

The address of the NRD website is [www.nrd.ca](http://www.nrd.ca). The first screen displayed is the NRD splash page.

##### 1. NRD splash page

The NRD splash page displays the NRD logo and prompts you to select either the English or the French language version of the website. There are also links to information on intellectual property, enrolling to use NRD and on privacy.

Click the language of your choice to proceed to the login page.



##### 2. Logging in

After selecting the English or French language version of the website, the system displays the login page.

TIP – You may also download copies of the NRD enrolment forms from the Login page.

Enter your user ID and password and click **Login**.

**Login**

Enter Your User ID:

Enter Your Password:

**New Firm**

To set up your new firm and to make any changes to firm enrollment, click [here](#).

**(a) First login for chief AFR**

If you are a chief AFR and are logging in to NRD for the first time, the system prompts you to enter your PIN. As a chief AFR, you will have selected a PIN and communicated it to the NRD administrator when you completed NRD Form 2 – Enrolment of Chief Authorized Firm Representative. Enter the PIN and click **Login**.

**Login**

Enter your personal identification no:

You will then be prompted to change your password. If you have forgotten your PIN or other login information, contact the NRD administrator for assistance.

**(b) First login for AFR administrator and AFR**

After you enter your user ID and password and click **Login**, the system prompts you to change your password. Enter the system-generated password that you received from your chief AFR. Then enter a new, personalized password of your choosing. The password must be a series of 6-20 alphanumeric characters (must include letters AND numbers), no special characters (spaces, punctuation marks, etc.), and must begin and end with a letter. Confirm the new password in the third field and click **Save & Continue**.

NOTE: Passwords automatically expire after 13 months. At your first login attempt after expiry, you will be forced to change your password, in the same way you are when you first login with a new user ID, or when you have had your password reset.

**Change Password**

**Password Information**

The new password must be 6-20 characters of which the first and last character must both be alpha characters and must contain at least one numeric character. It is not case sensitive.

Enter Current Password:

Enter New Password:

Re-Enter New Password:

See [Set Up Users](#) in [Chapter 8 – Administrative Tools](#) for more details on first-time logins.

If you do not have a user ID and password (and PIN if you are a chief AFR), or if you are not able to log in to the system using your user ID and password (and PIN, if applicable), contact one of the following for assistance:

- if you are the chief AFR for your firm, contact the CDS INC. Help Desk at 1-800-219-5381
- if you are an AFR administrator for your firm, you should contact the chief AFR for your firm
- if you are an AFR for your firm, you should contact either the chief AFR or an AFR administrator for your firm
- if you are an individual that is completing an initial application using NRD, you should contact the AFR who provided you with your user ID and password for accessing NRD

If you are not able to log in to the system using your user ID and password (and PIN, if applicable), contact the CDS INC. Help Desk at 1-800-219-5381.

NOTE – If you make three unsuccessful login attempts within a thirty-minute period, your access to the system will be frozen. If you get “locked-out”, contact the CDS INC. Help Desk for assistance.

## **B. Navigating the NRD website**

Once you have successfully logged in to the system, the task menu is displayed. (AFRs who are associated with more than one firm under the same user ID will first be presented with a Firm List. These AFRs select a firm to work on, and are then presented with the task menu.) The task menu

displays a list of hyperlinks that correspond to the tabs on the main navigator. Select a task from the list or directly from the main navigator.

The screenshot shows the NRD web application interface. At the top, there is a dark blue header bar with the NRD logo on the left and links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT on the right. Below this is a row of seven blue buttons: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The main content area has a title bar that reads "20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.". Below the title bar is a "Task Menu" section with a list of links: [Firm Submission](#), [Individual Submission](#), [Search](#), [Work In Progress](#), [Sent To Regulators](#), [Firm Information](#), and [Admin Tools](#). At the bottom of the page, there is a dark blue footer bar with a row of links: [FIRM SUBMISSION](#), [INDIVIDUAL SUBMISSION](#), [SEARCH](#), [WORK IN PROGRESS](#), [SENT TO REGULATORS](#), [FIRM INFORMATION](#), and [ADMIN TOOLS](#).

## 1. Global navigator



The global navigator is a row of links in small text at the upper right corner of each screen: **Privacy Statement**, **Help**, **Français/English** and **Logout**. If you are an AFR for more than one firm, **Firm List** will also appear as a choice in the global navigator.

### (a) Privacy Statement

Click this link to view a privacy statement regarding the collection and use of information on NRD.

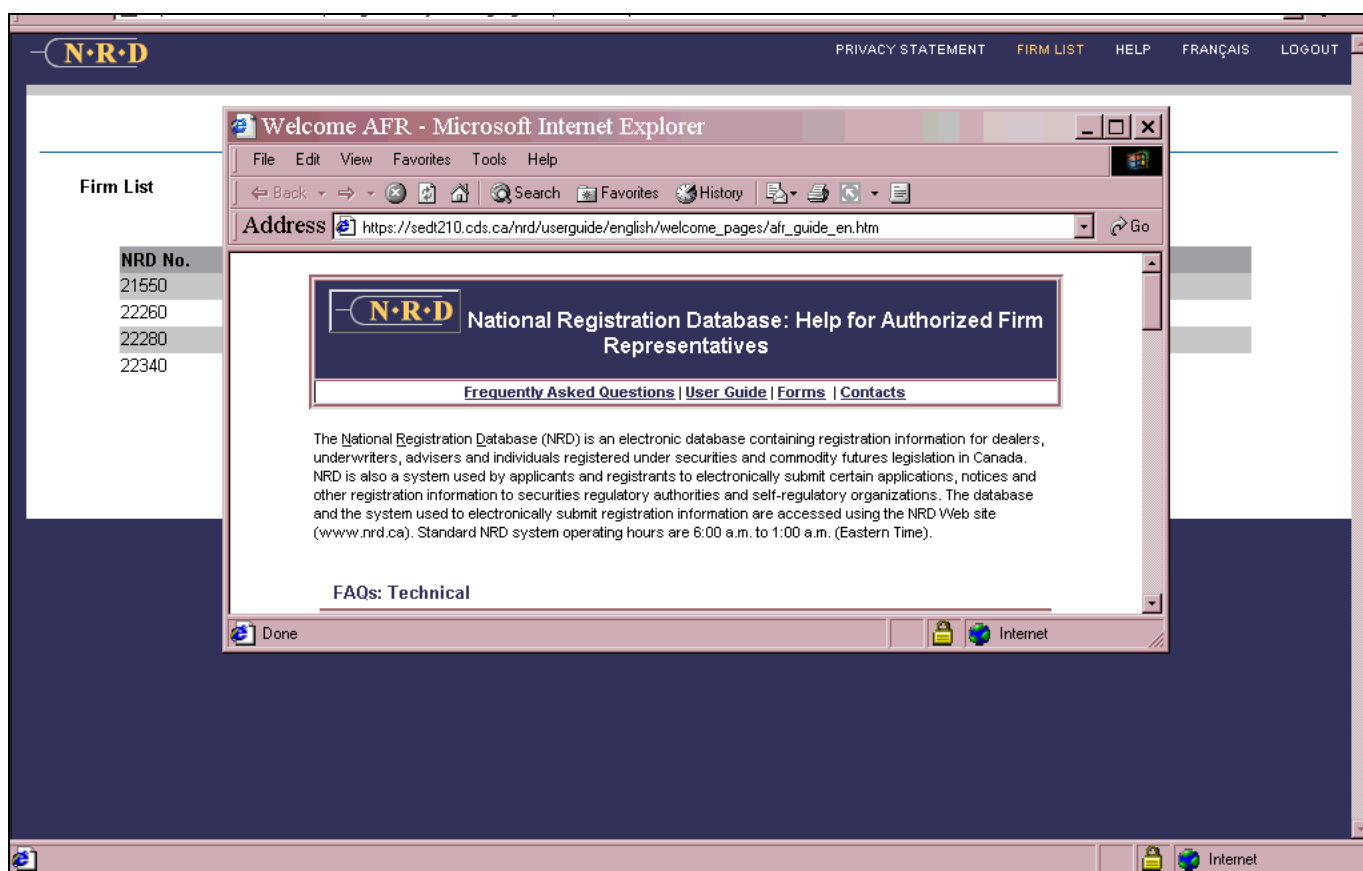
### (b) Firm List

If you are an AFR using the same user ID for more than one firm, the **Firm List** link appears on your global navigator. Follow this link to view your firm list. This feature enables you to work on your various firms in one session without logging out of the system. AFRs that are associated with more than one firm are presented with their firm list whenever they login. However, you may only work with one firm at a time.

N.R.D.			PRIVACY STATEMENT	FIRM LIST	HELP	FRANÇAIS	LOGOUT
Firm List							
NRD No.	Name of Firm	Status					
21550	<a href="#">Société Guèvremont Inc.</a>	Active					
22260	<a href="#">Everest Investments Ltd.</a>	Work in progress					
22280	<a href="#">Âcres &amp; François Ltée.</a>	Active					
22340	<a href="#">Placements Guèvremont &amp; Stevenson, Ltée</a>	Suspended (Regulatory Action)					

### (c) Help

Clicking **Help** launches a new browser window – your current NRD session is not interrupted. The system displays a page of frequently asked questions and hyperlinks to other help tools and help contacts. This page also includes a hyperlink to this manual.





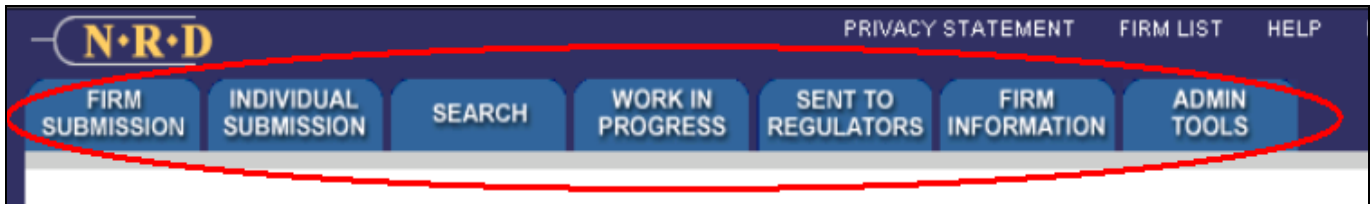
(d) **Français/English**

If you change your language preference by clicking on the language link in the global navigator, the system will log you out of the system and present the login screen in your new preferred language. Since the language link is effectively a logout button, be sure to save any work before clicking the link.

(e) **Logout**

Click **Logout** to exit the system. Be sure to save any work before logging out.

2. **Main navigator**



The **main navigator** is a row of tabs running across the top of each NRD screen. These links are repeated as text hyperlinks at the bottom of each NRD screen. Each link is described below.

(a) **Firm Submission**

Click this item to create a new submission on behalf of your firm. See Chapter 7 – Making NRD Submissions for details. See the [Submission Illustrations – Firms Submissions](#) for screens and full details on this function.

(b) **Individual Submission**

Click this item to create a new submission on behalf of an individual associated or seeking to be associated with your firm. See Chapter 7 – Making Submissions Using NRD for details. The individual submission types are organized into three categories. See the [Submission Illustrations – Individual Submissions](#) to view all individual submission types.

(c) **Search**

Click this item to perform searches on:

- **Individuals** associated with your firm;
- **Firm or individual submissions:** you may search for any submission in your firm's WIP or that have been sent to Regulators.

TIP: To search WIP submissions, do not enter a date in the date range field. The system uses this field to identify the “Submitted” (Sent to Regulators) date of a submission. Therefore, the search would ignore WIP submissions. Instead, search by submission type, AFR id or other criteria.

➤ **Locations** of your firm

See Chapter 9 – Searching and Viewing Information on NRD for more details on performing searches.

(d) **Work in Progress**

Click this item to view your **Work in Progress**. Work in progress consists of submissions that you have created, but have not yet sent to regulators. **Work in Progress** is explained in Chapter 7 – Making NRD Submissions.

(e) **Sent to Regulators**

Click this item to view submissions that you have completed and sent to regulators. Submissions stay in **Sent to Regulators** until each applicable regulator has processed them.

You can sort your Sent to Regulators submissions by NRD number, Name, Submission Number, Submission Type or Date Sent. Click the appropriate column heading to sort your submissions by that criterion. Unlike Work in Progress submissions, you cannot delete submissions from your **Sent to Regulators** list.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.						
<b>Submissions Details</b>						
To view submission history, click on a Submission Type. To sort by a column, click on the column title. Showing Submissions:1-2 of 2						
<u>NRD No.</u>	<u>Name</u>	<u>Submission No.</u>	<u>Submission Type</u>	<u>Date Sent</u>	<u>Reviewer</u>	
20240	Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.	200320645	<u>Open a Location</u>	2003/02/19	Dizon,Dina	
808331	Grzela,Lévi	200320871	<u>Individual Name Change</u>	2003/02/19	Dizon,Dina	

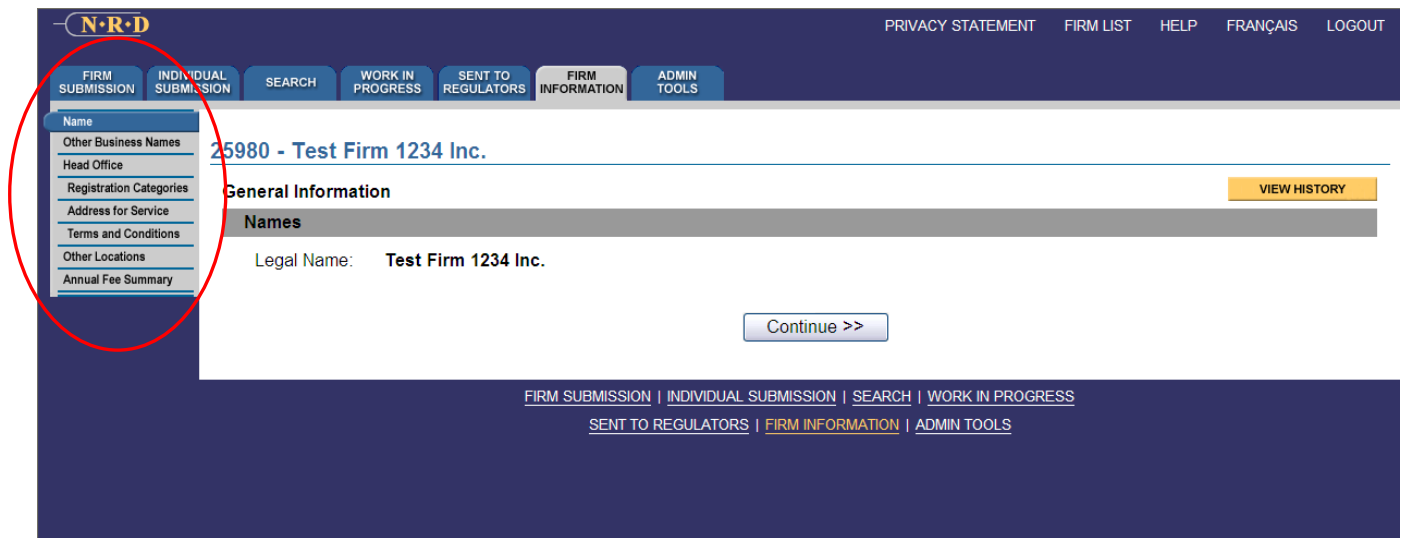
(f) **Firm Information**

Click this item if you want to view information about your firm. See [Firm Information – Permanent Record](#) in [Chapter 9 – Searching and Viewing Information on NRD](#) for more details on viewing your firm’s information.

(g) **Admin Tools**

Click this item to perform administrative tasks, such as setting up and maintaining users, resubmitting fees or generating reports. The admin tools available to you depend on your AFR role. See [Chapter 8 – Administrative Tools](#) for full details and instructions on using the NRD Admin Tools functions.

### 3. Local navigator



After selecting a task from the main navigator, the system displays a subset of commands or links in the local navigator, a column of tabs that appears at the left of your screen. Some main navigator tabs – **Work In Progress** and **Sent to Regulators** – do not have corresponding local navigators, but if you open any of the submissions in either of these sections, the submission’s local navigator will appear.

### 4. Error/Informational/Warning messages

As you work in NRD, the system may display an error, informational or warning message in red at the top of the screen, in response to an action you have taken. These messages will help you correct mistakes or avoid unintended actions while using NRD.

#### EXAMPLES:

Error messages force the user to correct an action. Until you correct the error on a particular screen, the system will not allow you to proceed. For instance, the system will display an error message if you attempt to:

- enter an invalid postal code or date of birth
- assign an individual to a branch in a jurisdiction in which s/he is not registered or registering
- leave a mandatory field blank (e.g. First Name or Telephone Number in an Initial Registration)

Informational messages simply indicate the presence or absence of requested data. For instance, the system will display an informational message if you:

- click **View History** for a Permanent Record item that has no historical records
- execute a search for which there are no results
- have Terms and Conditions on an individual's Permanent Record

Warning messages do not force you to correct an action, but they do relay important facts concerning your submission. It is advisable to note these messages and follow their recommendations appropriately. For instance, the system will display a warning message if you:

- Are relating an Initial submission to a deficient Initial submission;
- Are completing a Notice of Termination for an individual who is a location supervisor or branch manager;
- Are completing a Close a Location submission for a business location where individuals are still working.

## 5. Using your Browser's navigation buttons.

When you click your Internet browser's **Back** button (or hit the "Backspace" button on your keyboard), typically, the browser brings you to the previous page. You cannot use your back button to correct information you have previously saved. The system will automatically return you to the last page you were on before you clicked your browser's back button.

Although you will not lose saved information, to avoid being confused by this interrupted navigation, you should **never use your browser's Back button** (or "Forward" or "Refresh/Reload" buttons for that matter) **while you are working on a submission or an Admin Tools function.**

You may use your browser's navigation buttons when you are viewing Firm Information or information retrieved from the Search function, such as an individual's Permanent Record, firm or individual submissions or location information.

See Chapter 7 – Making NRD Submissions for more tips on using various NRD commands while using the system.

## CHAPTER 7 - MAKING NRD SUBMISSIONS

### Chapter Outline

This chapter describes each NRD submission type, who may make a submission and the procedures for creating, completing and sending submissions to regulators.

#### A. NRD submissions and NRD submission types

An NRD submission is the NRD term for registration-related information that is prepared and sent to regulators under Canadian securities legislation, commodity futures legislation or IIROC requirements using NRD. Throughout this manual, NRD submissions are often referred to as submissions, or specified as firm submissions or individual submissions.

As described in Chapter 2 – Overview of the National Registration Database, the registration instruments require that certain registration information be submitted to regulators electronically using NRD. This information must be prepared and submitted using the appropriate submission types found on the system. An NRD submission type is the NRD term for a screen or a series of screens on NRD by which you enter registration related information in a standard form for a particular purpose. The purpose of some of these submission types, such as Form 33-109F4, is to apply for the registration of an individual with one or more regulators. The purpose of other individual submission types is to provide notice to regulators of changes to registration information for an individual. Throughout this manual, NRD submission types are often referred to simply as submission types.

The specific submission types that may be created and submitted on behalf of firms and individuals using NRD are described below. The submission illustrations in this manual provide you with instructions, screen illustrations and tips on completing each submission type.

#### 1. Firm submissions

There are six firm submission types that you can make using NRD:

##### (a) Open a Location

This submission type allows your firm to open a business location in a jurisdiction in which your firm is registered or is applying for registration. This submission type requires you to provide address and contact information, branch manager/designated supervisor information, as well as whether the location is a branch or sub-branch.

You may apply to open more than one location in a single jurisdiction with one Open Location notice.

**(b) Close a Location**

This submission type allows your firm to close an existing business location, (branch or sub-branch).

You may only close one location per Close Location Notice. Locations cannot be “Re-opened” on NRD.

**(c) Change Location Address Information**

This submission type allows your firm to give notice of a change to the address and contact information for a particular branch or sub-branch.

NOTE – There is no notice on NRD to change Head Office Information. Contact your regulator for instructions on making changes outside the system.

**(d) Change Location Supervisor**

This submission type allows your firm to give notice of a change in the location supervisor at a particular branch or sub-branch.

NOTE – There is no notice on NRD to change the Head Office Compliance Officer. Contact your regulator for instructions on making changes outside the system.

**(e) Change Location Status**

This submission type allows your firm to change the location type (Branch or Sub-Branch) of a particular location.

**(f) Annual Fee Exclusion**

This submission type allows your firm to exclude certain individuals from the calculation of annual fees payable by your firm.

TIP – This submission must be made for each jurisdiction where the individual is registered and where you wish to exclude her/him from annual fees, and it can only be made once per individual to each jurisdiction in a given year.

TIP – You may include more than one individual in the submission, as long as they are all in the same jurisdiction.

## **2. Individual submissions**

There are three categories of individual submission types that you can make using NRD on behalf of individuals associated with your firm. They are:

➤ **Initial**

- Amendment
- Notice

**(a) Initial**

Each of the following submission types allows you to complete and submit what in the paper world would be a Form 33-109F4. While the following descriptions of these submissions refer to “registered individuals” and to the “registration” of individuals, these submissions are also to be used by or on behalf of permitted individuals.

**(i) Initial Registration**

Use this submission type if you are applying for the registration of an individual through NRD for the first time.

**(ii) Reinstatement of Registration**

Use this submission type if you are applying for registration of an individual:

- (1) within 90 days of that person leaving her/his last sponsoring firm; or
- (2) you are re-hiring within 90 days of that person leaving your employ, and
- (3) in the same jurisdiction and the same category as that person’s registration with her/his last sponsoring firm.

However, if the individual left his/her last sponsoring firm any time between October 1 and December 31 of a given year and s/he is applying for registration after that December 31, you must complete the Reactivation of Registration submission.

**(iii) Registration with an Additional Sponsoring Firm**

Use this submission if an individual is with another firm and maintaining their registration with their current firm.

You should ensure that registration with more than one firm by an individual is permitted under applicable securities and commodity futures legislation prior to using this submission type.

**(iv) Registration in an Additional Jurisdiction**

Use this submission if the individual is seeking registration in another jurisdiction.

**(v) Registration Information for Individuals Included in Data Transfer**

Unless you are reactivating an individual's registration, use this submission type if the individual was recorded on NRD on the NRD launch date (March 31, 2003) and s/he is submitting Form 33-109F4 or Form 33-506F4 for the first time.

**(vi) Reactivation of Registration**

Use this submission if the individual is applying for registration after having left the last sponsoring firm more than 90 days ago, or the applicant is applying in a new category of registration.

**(b) Amendment**

**(i) Change or Surrender of Individual Categories**

This submission type allows you to complete and submit a Form 33-109F2 to change or surrender individual categories or change your officer title.

TIP – if the individual is surrendering all categories in the last jurisdiction in which s/he is registered, you must complete the Notice of Termination, and not the Change or Surrender of Individual Categories.

**(ii) Apply for an Exemption**

This submission type allows you to apply for an exemption from a proficiency requirement for an individual associated with your firm.

NOTE – If this submission is approved, the Proficiency section of the individual's Permanent Record is automatically updated.

**(c) Notices**

**(i) Notice of Termination (Form 33-109F1)**

This submission type allows you to give notice of the termination of employment of an individual with your firm for all the jurisdictions in which s/he is registered with your firm.

TIP - if the individual is registered with your firm in more than one jurisdiction and is not surrendering registration in all of these jurisdictions, complete the Amendment – Change or Surrender of Individual Categories for only the applicable jurisdiction(s), and not the Notice of Termination.

**(ii) Update/Correct Termination Information**

This submissions type allows you to correct termination information that was previously approved by the regulators for an individual that is terminated by your firm.



**(iii) Individual Name Change (Item 1 of Form 33-109F4)**

This submission type allows you to give notice of a change to legal and other name information that was previously submitted for an individual.

**(iv) Residential Address Change (Item 2 of Form 33-109F4)**

This submission type allows you to give notice of a change to the residential address information that was previously submitted for an individual. This notice also permits you to correct Previous Residential information already on the permanent record.

**(v) Personal Information Change (Item 3 of Form 33-109F4)**

This submission type allows you to give notice of a change to the personal description information (eye and hair colour, weight and height) that was previously submitted for an individual. Personal information such as date and place of birth can also be corrected.

**(vi) Citizenship Information Change (Item 4 of Form 33-109F4)**

This submission type allows you to give notice of a change to the citizenship information that was previously submitted for an individual.

**(vii) Address or Agent for Service Change (Item 7 of Form 33-109F4)**

This submission type allows you to give notice of a change to the address and agent for service information that was previously submitted for an individual.

**(viii) Proficiency Information Change (Item 8 of Form 33-109F4)**

This submission type allows you to give notice of a change to the proficiency information that was previously submitted for an individual.

**(ix) Exemption Refusal Information Change (Item 8 of Form 33-109F4)**

This submission type allows you to give notice of a change to the information regarding exemption refusals that was previously submitted for an individual.

**(x) Employment Location Change (Item 9 of Form 33-109F4)**

This submission type allows you to give notice of a change in the location of your firm at which the individual is employed.

**(xi) Current/Previous Employment Change (Items 10 and 11 of Form 33-109F4)**

This submission type allows you to give notice of a change to the current employment information or information regarding other business activities or

employment that was previously submitted for an individual. You may also correct Previous Employment information already on the Permanent Record.

**(xii) Resignations and Terminations Change (Item 12 of Form 33-109F4)**

This notice type allows you to disclose new Resignation and Termination information.

**(xiii) Regulatory Disclosure Change (Item 13 of Form 33-109F4)**

This submission type allows you to give notice of a change to or addition of a regulatory disclosure for an individual under the headings “Securities regulatory authorities”, “Self-regulatory organizations” or “Non-securities regulation” on Form 33-109F4.

**(xiv) Criminal Disclosure Change (Item 14 of Form 33-109F4)**

This submission type allows you to give notice of a change to or addition of a criminal disclosure for an individual under the heading “Criminal, provincial and territorial offences” on Form 33-109F4.

**(xv) Civil Disclosure Change (Item 15 of Form 33-109F4)**

This submission type allows you to give notice of a change to or addition of a civil disclosure for an individual under the heading “Current and past civil proceedings” on Form 33-109F4.

**(xvi) Financial Disclosure Change (Item 16 of Form 33-109F4)**

This submission type allows you to give notice of a change to or addition of a financial disclosure for an individual under the headings “Bankruptcy”, “Debt Obligations”, “Surety bond or fidelity bond” or “Garnishments, unsatisfied judgements or directions to pay” on Form 33-109F4.

**(xvii) Ownership of Securities and Derivatives Firms Change (Item 17 of Form 33-109F4)**

This submission type allows you to give notice of a change to or addition of a related securities firm disclosure for an individual under the heading “Related securities firms and holdings” on Form 33-109F4.

### **3. Single jurisdiction and multi-jurisdiction submission types**

Certain submission types described above are single jurisdiction submission types, which are submission types that are only appropriately made in one province or territory. Other submission types are multi-jurisdiction submission types. That is, they are submission types that may or will be made in more than one province or territory. When you complete a submission and send it to regulators on NRD, the system sends the submission to the

appropriate jurisdictions. On your Sent to Regulators list, you can see to which regulators a submission has been sent.

The Submission History, accessible through the yellow “Submission History” tab at the bottom of the local navigator when you open a submission, specifies the jurisdictions who have received the submission, and the status of the submission in each jurisdiction.

All firm submission types are single-jurisdiction submission types, as each of them relates to a particular location of your firm in a single province or territory.

In addition, the individual submission types Change Address and Agent for Service, and Apply for Exemption are single jurisdiction submission types. All other individual submission types are multi-jurisdictional submission types.

Multi-jurisdictional submissions for individual will be filed in more than one jurisdiction if they are registered in more than two jurisdictions. For instance, the submission types described above in Section 2(a) Initial Registration, Transfer, Additional Sponsoring Firm, Reactivation and Additional Jurisdiction, as well as in Section 2(b) Change or Surrender of Individual Categories may be made in one or more jurisdictions selected by an AFR at the time of preparing those submissions. These submissions must be approved, withdrawn or denied by each regulator.

All other multi-jurisdictional submissions made for individuals will automatically be submitted in each jurisdiction the individual is registered or applying for registration. These include all individual submission types in the Notice category, except for the submission type described in Section 2(b)(v) (Change Address and Agent for Service). As all of these submission types are notices of change to an individual’s single NRD Permanent Record, it is appropriate that they be submitted to regulators in each jurisdiction in which the individual is registered, although only the lead jurisdiction approves/denies/withdraws the submission. The non-lead jurisdictions simply acknowledge the submission.

## **B. Who may make a submission?**

### **1. AFRs**

Any AFR can complete any submission type. However, unless you are the chief AFR or an AFR administrator for your firm, you may only complete submissions that you create or are assigned to you.

Chief AFRs and AFR Administrators may reassign submissions to themselves or to other AFRs, including individual applicants.

### **2. Individual Applicants**

An individual who is not an AFR is permitted to complete the information for certain Initial submission types if s/he is granted authorization to do so by an AFR for her/his firm. The submission types allowed are Initial Registration, Reactivation of Registration, and Submission for Individuals included in Data Transfer. See How to Set up and individual to

complete an Initial submission for details on granting authorization to individuals for this purpose. While an individual may complete the information for her/his submission, s/he is not permitted by the system to send the submission to regulators. When the individual completes the submission, the system redirects it to the WIP of the AFR who originally authorized the individual to prepare the submission on the system. Only an AFR for the firm may send submissions to regulators.

## C. How to prepare a submission

The process of preparing a submission involves choosing the appropriate submission type and then completing the information by entering information in the input fields or by clicking on checkboxes or radio buttons. These and other functions are described in Section C.4 of this chapter.

Once you have finished preparing a submission, or, if you have authorized an individual to prepare a submission, and you are satisfied with the contents of that submission, you may follow the procedures for completing and sending a submission to regulators. These procedures are described in Section D of this chapter.

Although AFRs may create submissions as soon as they are authorized and set up on the system by their chief AFR, those submissions cannot be completed or sent to regulators until the firm's registration categories are set-up on NRD in all the applicable jurisdictions.

NOTE – If there seems to be a delay in the set up of firm registration categories in a jurisdiction, contact the applicable regulator.

### 1. Data format tips

- **Language preference:** the data you input manually is not translated by the system. For example, if you wish to have disclosure available in both official languages, you must input both. Your data will always be viewed as you typed it, regardless of what version of the system (Français or English) you log in to.
- **Names with French characters:** all French characters are allowable except æ and œ. Use separate characters “ae” and “oe” instead. If you need to search a name with French accents but do not have access to French keyboard settings, you may enter plain text to obtain the same search results. For example, if you are searching for an individual associated with your firm with the last name “Guèvremont”, you may enter “Guevremont” and the system will still be able to find that record.
- **Letter cases:** the system saves data as entered, whether upper or lower case. Therefore, especially in the case of legal names, you should enter data as precisely as you wish it to be reflected in the Permanent Record.
- **Case-sensitivity:** user ID's, passwords and search input are not case-sensitive.
- **City names for locations:** When you are opening locations, you should use a standard format for inputting the city name, especially if you intend to have more than one location in any city. The reason is that the system arranges location records for your firm by city, and if there is more than one spelling/format for a city (e.g.: Toronto, toronto, or a typo like “Tornto”), the system will treat these spellings as though they

were distinct cities. None of your records will be lost, but you will find the records less convenient to access. As a Chief AFR, you should ensure that all your AFRs are following a standard format for entering city names.

- **Telephone/Fax numbers and extensions:** digits, spaces, hyphens, parentheses and periods are permitted, for telephone and fax numbers. No other special characters or letters are permitted. Extension numbers must be numeric only. The system does not validate for phone number formatting or accuracy (i.e., the system doesn't check for valid area codes vis-à-vis city, etc.)
- **Dates:** year must be 4 digits; month and day must be 2 digits each. The system validates for real dates (i.e., you cannot enter February 31 (2000-02-31) or a non-existing month (2001-31-31))
- **Disclosure input fields:** These fields have a 20-kilobyte capacity – this means you can enter approximately 20,000 characters of regular text. If you are copying and pasting from an electronic document (i.e., Word or WordPerfect) be advised that formatting features and certain characters cannot be saved in NRD. You can save the relevant text in TXT file format before pasting it into the text field. This function depends on your computer's operating system, so talk to your IT staff if you have trouble.

## 2. Firm submissions

Select **"Firm Submission"** from the main navigator. Your screen will display the following six choices:

- Open a Location
- Location Address Information Change
- Close a Location
- Location Supervisor Change
- Annual Fee Exclusion/Reversal
- Location Status Change

Click the submission type you wish to prepare. See the Submission Illustrations for further details on how to complete each submission type.

## 3. Individual submissions

Select **Individual Submission** from the main navigator. Your screen will display the following individual submission categories:

- Initial
- Amendment
- Notice

See the Submission Illustrations for further details on how to complete each submission type.

#### 4. How to re-assign a submission

When you are preparing a submission, you will see a tab at the bottom of the local navigator called **Re-assign submission**. This function allows you to electronically forward submissions to other AFRs in your firm, as well as to individuals who have been granted a user ID and password to complete an initial submission type. You may need to re-assign a submission to an individual if, for example, they have not provided adequate information for a disclosure question. You may also re-assign a submission to another AFR if, for example, you need to delegate some of your workload during an absence from your office.

Chief AFRs and administrative AFRs may also reassign submissions using the search function. When a Chief AFR or administrative AFR retrieves a submission through the search function, the yellow reassign tab will appear on the local navigator if the submission has not yet been sent to regulators.

The screenshot displays the NRD Filer Manual interface. At the top, there is a navigation bar with tabs: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. Below this, a sidebar on the left contains a list of options: INITIAL, Registration Jurisdictions (checked), Registration Categories, Address for Service, Location of Employment, Current Employment, Resignations and Terminations (checked), Confirm Permanent Record, Re-Assign Submission (highlighted in yellow), and Complete Submission. The main content area shows a submission for '805951 - Dion, Marianne' with user ID '20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.'. The title is 'Transfer Individual - Registration Jurisdictions'. Below this, there is a section titled 'Provinces or Territories' with a prompt: 'Click on a province or territory to provide registration information:'. Underneath, 'Provinces or Territories' is listed, with 'Ontario' selected. At the bottom right, there are two buttons: 'Add Another' and 'Continue >>'.

To reassign, Click **Re-assign Submission**. The system displays the submission type and submission number, along with a user identification field. Type in the user ID for the AFR or individual applicant to whom you wish to re-assign the submission. Click **Save and Continue**. The system validates the ID and the submission no longer appears in your **WIP** – it has been instantly transferred to the **WIP** of the user to whom you have re-assigned it.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
805951 - Dion, Marianne			20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.			
<b>Re-assign Submission</b>						
<b>Details</b>						
Type:	Transfer of Registration					
Submission No:	200321004					
Provide the User ID that this submission is being re-assigned to:						<input type="text" value="steve0010"/>
<input type="button" value="Save &amp; Continue &gt;&gt;"/>					<input type="button" value="Reset"/>	

## 5. Fields, commands and other objects used to enter information for submissions

### (a) Text fields, drop-down menus, checkboxes and radio buttons

Any field encountered in a submission or admin function (e.g.: address lines, disclosure details text boxes, registration category checkboxes, drop-down menus of provinces and territories, radio buttons for selecting fee resubmission types, etc.) should be considered mandatory unless otherwise indicated. The system will advise you if you have missed any required fields or entered invalid data.

### (b) “Continue” and “Save & Continue” buttons

Search results, Permanent Records and certain submission types require you to click **Continue** to navigate to the next screen. This command usually appears at the bottom of a screen that re-displays or summarizes information you have already entered.

Most submission types include more than one screen, thereby dividing data input requirements into manageable chunks. NRD allows you to save each page of information that you complete prior to continuing to the next page by clicking **Save & Continue** at the bottom of your screen.

See the NOTE on Inactivity for tips on avoiding timing out your session before you are ready.

Each time you click **Save & Continue**, the system validates and saves all the information you have entered so far on your submission. In case you need to logoff or perform another task, you may retrieve your submission from Work In Progress, and begin work from the last Save.

### (c) “Add Another” button

The **Add Another** button is effectively a “Save” function that also re-loads the form you have just completed, to be filled in with new information.

Certain submission items might have multiple responses. For example, an individual must disclose her/his residential address history for the past ten years. In many cases, more than one residential address must be provided to cover this ten-year requirement.

To enter more than one response with respect to a particular item of information, click the **Add Another** button at the bottom of the screen.

**Item 2 - Residential Address**

**Current and Previous Addresses**

Click on an address to edit the information:

Addresses	City	Phone	From	To	Added/Changed
<a href="#">56, rue St. Patrick, App. 1</a>	Kapuskasing	705-335-8554	2003/06		Added
<a href="#">103 Ethier Road, RR #20</a>	Parry Sound	705-844-5411	1996/01	2003/06	Added
<a href="#">65 Lakeview Village Rd., Apt. 308</a>	Nobel	706-465-5591	1995/01	1996/01	Added
<a href="#">32, Rue Bowman</a>	Kapuskasing	705-556-8100	1990/01	1995/01	Added

Add Another
Continue >>

#### (d) Added/Changed Column

This column, found only in some submissions, serves to flag records that have been added, or retrieved from the Permanent Record and changed during the course of the submission.

In the following example, a new employment record has been added, and is marked “Added”. Also a record that was retrieved from the Permanent Record as part of the submission has been opened by clicking the business name hyperlink, and edited. It is marked “Changed”.

**Employment Information**

Click on a name of business or employment to edit the information:

Name of Business or Employment	From	To	Added/Changed
<a href="#">Âcres &amp; François Ltée.</a>	2004/05/10		Added
<a href="#">Société Guèvremont Inc.</a>	2000/01/01		Changed

Add Another
Continue >>



“Added” records can also be deleted from a submission. See section (e) below. Records drawn from the Permanent Record cannot be deleted, only edited.

Once a submission is approved by regulators, the changes and additions are reflected in the Permanent Record. The Permanent Record does not display the “Added/Changed” column.

(e) **“Delete” checkbox**

The **Delete** checkbox function is used to delete an item of information added during the course of a submission. This function is only available for information added during the submission, not for information drawn from the Permanent Record.

In this example, the AFR is preparing an Initial Registration, and has input an Other Name for the individual. After clicking **Save & Continue** at the bottom of the Other Name input screen, the system displays a summary list of Other Name entries. If the AFR wishes to delete the Other Name entry they click the Other Name hyperlink and the system retrieves the data entered:

The screenshot displays the NRD Filer Manual interface. At the top, there is a navigation bar with tabs: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. Below this, a sidebar on the left lists various sections: INITIAL, Name, Residential Address, Personal Information, Citizenship, Registration Jurisdictions, Registration Categories, Address for Service, Proficiency, Location of Employment, Current Employment, Previous Employment, Resignations and Terminations, Regulatory Disclosure, Criminal Disclosure, Civil Disclosure, Financial Disclosure, Related Securities Firms, Re-Assign Submission, and Complete Submission. The main content area shows a form for 'Item 1 - Name'. The form title is 'Other Names' with a 'Delete' checkbox. The form fields include: Last Name (Lévesque), First Name (Diane), Second Name (if applicable), and Third Name (if applicable). Below these fields is a text area for 'Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name):' with the text 'marriage' entered. At the bottom, there is a section for 'Provide period known by above name:' with 'From' and 'To' date pickers (1976/01 to 1997/01). At the very bottom, there are three buttons: 'Add Another', 'Save & Continue >>', and 'Reset'.

The AFR checks the **Delete** checkbox in the upper right corner and clicks **Save & Continue**. This entry no longer appears on the summary list.

Whether you are in the midst of a submission or retrieve it from your **Work In Progress**, you can delete an entry in the manner described.

(f) **“Cancel” and “Reset” buttons**

The option to **Cancel** is presented after you have retrieved the record of an individual or a location while creating a submission. The **Cancel** command gives you an “out” in case you have retrieved the wrong record (e.g. you wish to Close a Location but you have retrieved the record of the wrong business location).

The **Reset** button makes the system re-display the information on a screen up to the last time that you clicked **Save & Continue** for that screen. If you have not clicked **Save & Continue** for the screen on which you are currently working, clicking **Reset** will clear all information from that screen.

6. **Work in progress (WIP)**

You are not required to complete a submission in one session. Any submission that you have not completed and sent to regulators will be stored in your **Work in Progress** as at the last successful Save. Any information you saved while working on your submission is preserved and is immediately retrievable. Just click the **Work in Progress** tab to retrieve the submission. Or, it will be retrievable in WIP the next time you log in.

**Work in Progress** submissions also include submission that have been returned to AFRs for correction by the Regulators. See Section E(2) below for further details.

Works in progress do not form part of the Permanent Record for a firm or an individual but constitute all of the submissions that have been assigned to an AFR that have not yet been sent to regulators. WIP submissions can be deleted by checking the box at the left of the submission on your WIP list and clicking **Delete** at the bottom of the screen.

You may sort your WIP submissions by NRD number (of the individual or business location), by Name (Individual or Firm), by submission number, by submission type, or by Created date. Click the appropriate column heading to sort your submission according to that heading. See the following screen:

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
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20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.

Submissions in Progress

To edit a submission, click on a Submission Type.  
 To sort by a column, click on the column title.  
 To delete a submission, check the box beside a submission and click "Delete".  
 Showing Results: 1-10 of 11

<input type="checkbox"/>	<u>NRD No.</u>	<u>Name</u>	<u>Submission No.</u>	<u>Submission Type</u>	<u>Created Date</u>
<input type="checkbox"/>	20240	Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.	200320905	<u>Open a Location</u>	2003/02/19
<input type="checkbox"/>	20240	Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.	200320904	<u>Location Address Information Change</u>	2003/02/19
<input type="checkbox"/>	818061	Breton, François	200320903	<u>Initial Registration</u>	2003/02/19

If you leave the submission by logging out, by navigating to another function on the site or if your session times out after 45 minutes of inactivity, your submission is stored automatically in your **Work in Progress** as at the last successful Save.

**NOTE ON INACTIVITY** – The system may time out your session while you are working on a submission. This might occur if you are working on a screen requiring detailed disclosure – for example, one of the Regulatory Disclosure questions or Current Employment information. If you take more than 45 minutes to complete the disclosure details on a single page, and then click **Save & Continue**, you may find that your session has timed out. If this happens, you would have lost your work for that specific page.

To avoid this, when you are working on a page that requires a large amount of work, click **Save & Continue** at regular intervals, even before you are finished with the item, and navigate back to the question or item using the local navigator or by retrieving the submission from WIP. This will save you the trouble of repeating work.

## 7. Print Submission

You can print the F4 report at any time and still edit the information before submitting to the Regulators. When completing an initial type submission, a **Print Submission** button is added just above **Complete Submission**, which allows you to print the F4 at any time.

## **8. Page by page completeness check**

When you are preparing a submission on NRD and you click **Save & Continue** or **Continue** on any particular screen, the system validates the information you entered. If any data is invalid or incomplete, the system displays a message near the top of the screen to help you correct the data. Upon receiving this error message, you should complete the missing information and click the **Continue** or **Save & Continue** button at the bottom of your screen. NRD does not validate the sufficiency of the disclosure you provide in text fields, only that you have input data into the required text fields.

## **D. How to send a submission to regulators**

Once you are satisfied with the information that you have entered for a particular submission, you may proceed to finalize the submission and send it to regulators.

### **1. Print Submission Page**

Before sending the submission to the Regulators, you can print the submission.

### **2. Completeness check**

When you are working on a submission and you:

- Click Complete Submission on the local navigator; or
- Click Continue on the last page of the submission and start the Complete Submission process

The system validates your submission and checks it for completeness. If all the required information has been entered, the system will display a message confirming that the submission is ready to be sent to regulators. Any incomplete items prompt an error message in red text that describes what information is incomplete in the submission. You can navigate directly to that section by clicking the corresponding tab on the local navigator.

### **3. Relating a submission to a deficiency**

If this submission was returned to you by the Regulators, this answer is defaulted to “yes” and the submission number is pre-populated and cannot be changed. If the submission is related to a deficiency other than a submission returned for correction, select “Yes” and enter the related submission number.

There are no submission fees payable for submissions that are related to previous submissions. Click Continue after you have clicked “Yes” or “No,” as applicable. NRD

will calculate the fees, if any, that are required to be paid to regulators with your submission.

**4. Submission fee summary screen**

The system displays information regarding the fees payable to regulators in each province and territory in which you are making your submission as well as your firm's NRD account information. NRD user fees also apply to some submissions.

To print the fee summary for your records, click **Printable Page**, then use the **Print** function in your internet browser. Click **Continue**, then **Acknowledge** to confirm your acceptance of the fees listed.

**5. Certification Page**

The system displays a screen with the provinces, territories and regulators to which your submission will be sent. This screen also includes statements to which you must attest.

When you are ready, check the certification box and click **Send to Regulators**. The system sends the submission and displays your **Task Menu**. You can view the submission by clicking your **Sent to Regulators** tab on the main navigator.

**6. Submissions made by firms and individuals associated with firms that are IIROC members**

By using NRD, you will not be required to make a submission to more than one regulator in any province or territory. If your firm is an IIROC member, NRD will automatically send your submission to the appropriate regulator in each province and territory where the submission is to be made and although a submission is directed to the commission, any IIROC applicable fees are automatically paid to the IIROC. In provinces such as British Columbia, Alberta, Quebec and Ontario, in which the IIROC has been delegated the authority for registration matters by the relevant securities commission, your submission will be sent to the IIROC in that province and if a submission should go to the commission(s) in those jurisdictions, it will be directed appropriately. In all other jurisdictions, your submission will be sent to the relevant securities regulatory authority which will then redirect that submission to the IIROC for approval, if required, all without any further action on your part.

**E. Dealing with submissions after they have been sent to regulators**

**1. Sent to Regulators**

Click this item to view submissions that you have completed and sent to regulators.

Submissions stay in **Sent to Regulators** until regulators have processed them. You can sort your **Sent to Regulators** submissions by NRD number, Name, Submission Number, Submission Type or Date Sent. Click the appropriate column heading to sort your submissions by that criterion. Unlike **Work in Progress** submissions, you cannot delete submissions from your Sent to Regulators list, nor can you edit them.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.						
<b>Submissions Details</b> To view submission history, click on a Submission Type. To sort by a column, click on the column title. Showing Submissions: 1-2 of 2						
NRD No.	Name	Submission No.	Submission Type	Date Sent	Reviewer	
20240	Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.	200320645	<a href="#">Open a Location</a>	2003/02/19	Dizon,Dina	
808331	Grzela,Lévi	200320871	<a href="#">Individual Name Change</a>	2003/02/19	Dizon,Dina	

## 2. Review of submissions by regulators

After a submission has been sent to regulators, those regulators will review the submission. If the submission is deficient or requires clarification, regulators may return the submission for correction or clarification.

When a submission is returned, it appears in your work in progress list. Upon opening the submission you will see a list of the deficient items along with instructions from the regulator to correct the items. Some regulators may also sent an e-mail to notify you of the deficiencies or clarifications required.

The screenshot shows the NRD Filer Manual interface. At the top, there's a navigation bar with links like PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a secondary navigation bar with tabs: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The main content area is titled '2078911 - Smith, David' and '25980 - Test Firm 1234 Inc.'. On the left, there's a sidebar with a list of submission items, some of which are checked. The main area shows 'Deficient Items' with a list of items that need correction: 'Registration Categories' and 'Current Employment'. Below this is a 'Comments' section with a message from the reviewer: 'Dear AFR: After reviewing the submission for David Smith, we note the following deficiencies that require correction: Item 5 - Registration Categories You have selected Officer, but you did not disclose an officer Title. Item 10 - Current Employment You have disclosed that the applicant will be working only 10 hours, but you have not answer the question A. Please address the deficiencies by December 1 or the application will be withdrawn. Regards, Reviewer'. At the bottom right, there is a 'Continue >>' button.

### 3. Approval and acknowledgement of submissions by regulators

Check your **Sent to Regulators** list to track the processing of your submission. You can view its status by opening the submission and clicking the **Submission History** tab on the local navigator. When the submission no longer appears in your “Sent to Regulators” list, you can retrieve it using the “Search” function. The **Submission History** feature shows you when and by whom the submission was processed. It is at the regulators’ discretion to provide you with any notice outside of the system regarding the approval or acknowledgement of submissions.

### 4. Terms and conditions

A regulator may impose terms and conditions on the registration of a firm or individual. For example, these terms and conditions may include restrictions on the type of securities or derivatives in which a registrant may deal, the clients with which a registrant may trade or requirements on the part of the registrant to file additional financial reports.

Terms and conditions are indicated on NRD in the Permanent Record of the firm or individual and will be apparent when you view information about your firm or a particular individual associated with your firm. Your screen will indicate the effective date of the terms and conditions and may also indicate the date on which the terms and conditions must be satisfied. You may also view the details of the terms and conditions.

See Chapter 9 – Searching for and viewing information on NRD for more details on viewing terms and conditions.

## **5.     Withdrawing submissions**

If you wish to withdraw a submission after it has been sent to regulators you may do so by contacting the applicable regulators in writing. If this is a multi-jurisdictional submission you must contact all applicable regulators immediately. If a regulator agrees to and finalizes your withdrawal of a submission, the status of your submission will be indicated as “Withdrawn” on the system.

To view information on a withdrawn submission, use the Search function to search that submission. Having retrieved the submission details, click **Submission History** then on the status of the submission (in this case, “Withdrawn”). You will be able to view the details of the withdrawal, as input by the regulator who dealt with the submission in question.

If you have not yet sent a submission to regulators and you wish to remove (delete) the submission from NRD, you may delete the submission from your Work in Progress list.

## **6.     Abandoned submissions**

If you have not responded to requests by regulators to provide additional information with respect to a submission, such regulators may consider you to have abandoned your submission, in which case, the status of your submission will be indicated as “Abandoned” on the system. This disposition, like any other, (Approve or Deny) cannot be reversed on a submission.

## **F.     Bulk Category Change**

If a firm has been registered in a new category and a significant number of individuals is associated with the change, the regulators may consider exempting the firm and individuals involved from making filings through NRD, and allow for a Bulk Category Change. The purpose of this is to allow for a mass change of categories for individuals of the firm, thereby eliminating the need for each individual to submit a separate ‘Change or Surrender of Individual Categories’ Submission.

There may be an additional fee associated with this feature. Firms involved in such a transaction should contact the applicable regulators to discuss what steps are required to allow the use of the Bulk Category Change process.

## **G.     Bulk Transfer of Locations and Individuals**

If a registered firm is acquiring a large number of business locations (for example, as a result of an amalgamation or asset purchase) from one or more other registered firms that are located in the same jurisdictions and registered in the same categories as the acquiring firm, and if a significant number of individuals are associated on NRD with the locations, the regulator will consider exempting the firms and individuals involved in the transaction from making filings through NRD and allow for a Bulk Transfer.



Bulk transfers involving firms that are registered in different categories or different jurisdictions may need to take additional steps. Firms involved in such a transaction should contact the applicable regulators to discuss what steps are required to allow the firms to use the bulk transfer process described above.

## **H. Temporary hardship exemption**

If unanticipated technical difficulties prevent you from making an NRD submission to regulators within the time required under applicable securities or commodity futures legislation, you may file that submission in paper format in reliance on the temporary hardship exemption provided by the registration instruments.

If you file a submission in paper format in reliance on the temporary hardship exemption, the registration instruments also require you to make the submission using NRD as soon as practicable and in any event within 10 business days of the unanticipated technical difficulties being resolved.

## CHAPTER 8 - ADMINISTRATIVE TOOLS

### Chapter Outline

This chapter tells you how to use the administrative tools features of NRD to perform tasks such as changing passwords, appointing AFR administrators and AFRs, resubmitting fee payments and generating NRD reports for your records. The number of tools available depends on the AFR's role (chief AFR, AFR administrator, or AFR).

You may access the NRD administrative tools by clicking **Admin Tools** on the main navigator. Admin Tools vary according to AFR role.

Chief AFRs and AFR administrators have the following admin tools at their disposal:

- Set Up Users
- Maintain Users
- Change Password
- Reset Password
- Revoke Access
- Resubmit Fee Payment
- Reports

The AFR has access to the following admin tools:

- Change Password
- Resubmit Fee Payment
- Reports

The individual applicant has access to the following admin tools:

- Change Password

Each of these functions is explained below.

### A. Set Up Users

The **Set Up Users** function is used to appoint AFR administrators and AFRs for your firm. In order to appoint a person to act as an AFR administrator or an AFR, you must be the chief AFR or an AFR administrator for your firm.

Click **Set Up Users** on the **Admin Tools** local navigator. The system displays the Set Up Users form.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
<div> <div> Set Up Users  Maintain Users  Change Password  Reset Password  Revoke Access  Resubmit Fee Payment  Reports </div> <div> 20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc. </div> </div>						
<div> <div>Set Up Users</div> <div> <div>Individual Information</div> <div> User ID: <input type="text"/>  OR  Last Name: <input type="text"/>  First Name: <input type="text"/>  Second Name: (if applicable) <input type="text"/>  Third Name: (if applicable) <input type="text"/>  Telephone No.: <input type="text"/> ext.: (if applicable) <input type="text"/>  Fax No.: (if applicable) <input type="text"/>  E-Mail Address: (if applicable) <input type="text"/>  Role: <input type="text" value="Select One"/> </div> <div> Save &amp; Continue &gt;&gt; Reset </div> </div> </div>						

There are two ways to complete this form:

### Option 1:

If the AFR you are setting up with your firm is currently playing the same AFR role with another firm (AFR or AFR administrator), you may wish to use her/his original ID information for your own firm. If this is the case, type the AFR's user ID in the first field and click "Save & Continue." Sold. The system will verify that the user ID entered is valid and current and will retrieve that AFR's name and contact information.

Click **Printable Page** at the bottom of the screen to confirm this AFR. If you do not click **Printable Page** the AFR will not be set up with your firm. If you find that this is not the correct AFR record, click **Cancel** to re-enter the AFR user ID.

When you complete this user set up, the AFR's original user ID and password are not altered. Therefore, no new password is generated on the confirmation page.

### Option 2:

If you wish to set up an AFR that is new to the system and to your firm, enter the name and contact information of the individual in the appropriate fields. Select **AFR** or **AFR Administrator** from the Role drop-down list.

When you are ready, click **Save & Continue** at the bottom of your screen. The system validates the data entered and displays a confirmation page with the name, contact information, user ID and password of the new AFR, along with the firm, firm NRD number, and the AFR role. The user ID and password are generated by the system.

20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.	
<b>Set Up Users - Confirmation</b>	
<b>Individual Information</b>	
Name:	Stevenson, Alec
Telephone No.:	7053369841 ext.:
Fax No.:	
E-Mail Address:	alec@email.com
Legal Firm Name:	Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.
Firm NRD No.:	20240
Role:	AFR
User ID:	STEVE0009
Password:	yc25zfmx
<i>Password must be changed the first time you log in.</i>	
<input type="button" value="Printable Page"/> <input type="button" value="Cancel"/>	

Click the **Printable Page** button at the bottom the screen to confirm the new AFR record. If you need to correct any data on the confirmation page, click the **Cancel** button, and re-input information regarding the new AFR. If you do not click **Printable Page**, the system will not save the record of the new AFR, and the login information generated on the screen will not be valid.

## B. Maintain Users

The **Maintain Users** function is used to change the system's record of the name and contact information of an AFR, or contact information of a chief AFR. If you are replacing an existing AFR with a new person, use the Set Up Users function for the new AFR and use the Revoke Access function for the AFR who has been replaced.

Click **Maintain Users** on the **Admin Tools** local navigator. The system displays a field in which to type the user ID of the AFR whose information you wish to change in the system. The system verifies the user ID and retrieves the corresponding individual information. You cannot use the **Maintain Users** function on AFRs who are not yet activated (i.e., they haven't logged in for the first time yet) or who are locked out.

Confirm that you have retrieved the record for the correct individual and make your changes as appropriate.

Click **Save & Continue** to save your changes. The system validates and saves your changes and returns you to the task menu.

The screenshot shows the 'Maintain Users' interface for user 20240. The left sidebar contains a menu with options: Set Up Users, Maintain Users (selected), Change Password, Reset Password, Revoke Access, Resubmit Fee Payment, and Reports. The main content area is titled '20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.' and 'Maintain Users'. Below this is a section for 'Individual Information' with the following fields: Last Name (Stevenson), First Name (Alec), Second Name (if applicable), Third Name (if applicable), Telephone No. (7053369841), Ext. (if applicable), Fax No. (if applicable), E-Mail Address (alec@email.com), and Role (AFR). At the bottom are 'Save & Continue >>' and 'Reset' buttons.

When the **Maintain Users** Function is used to update a chief AFR the Last Name and First Name are protected.

The screenshot shows the 'Maintain Users' interface for user 33070. The left sidebar contains a menu with options: Set Up Users, Maintain Users (selected), Change Password, Reset Password, Revoke Access, Resubmit Fee Payment, and Reports. The main content area is titled '33070 - Dargan Cataliers' and 'Maintain Users'. Below this is a section for 'Individual Information' with the following fields: Last Name (Hill), First Name (Pascal), Second Name (if applicable), Third Name (if applicable), Telephone Number (416-555-1212), ext. (if applicable), Fax No. (if applicable) (416-555-2121), E-Mail Address (phill@dargan\_cataliers.ca), and Role (Chief AFR). At the bottom are 'Save & Continue >>' and 'Reset' buttons.

### C. Change Password

The **Change Password** function is used to change your own password for NRD purposes.

Click **Change Password** on the local navigator. The system displays a field in which to enter your current password and your new password. You must enter your new password twice. For added security, the system will not allow you to change your password to any of your last five passwords. Click **Continue** to save your new password in the system. The system will confirm a successful password change.

#### D. Reset Password

A chief AFR or an AFR administrator uses the **Reset Password** function to change the password of another AFR administrator or AFR. This may be necessary, for instance, if an AFR administrator or AFR is locked out of the system as a result of having three unsuccessful login attempts. An AFR administrator cannot reset a chief AFR's password. Contact the NRD administrator to reset a chief AFR's password. The chief AFR must also provide their PIN to the NRD administrator to have their password reset.

When you click **Reset Password**, the system displays a field in which to enter the user ID of the person whose password is to be reset. Enter the user ID and click **Continue**. The system verifies the user ID and retrieves the name and role of the person whose password is to be reset. Confirm that you have retrieved the correct record and click **Continue**. The system generates a new password for this individual, displayed on a confirmation page. The AFR will login using her/his new password, and then will be required to change the password, in the same way an AFR logs in for the first time.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
<div>Set Up Users</div> <div>Maintain Users</div> <div>Change Password</div> <div><b>Reset Password</b></div> <div>Revoke Access</div> <div>Resubmit Fee Payment</div> <div>Reports</div>						
<div>8290 - Société de Lynne</div> <div>Reset Password</div> <div> <div>Name:</div> <div>Stevenson, Bobby-Joe</div> </div> <div> <div>Role:</div> <div>AFR Administrator</div> </div> <div> <div>Continue &gt;&gt;</div> <div>Cancel</div> </div>						

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
<div>Set Up Users</div> <div>Maintain Users</div> <div>Change Password</div> <div><b>Reset Password</b></div> <div>Revoke Access</div> <div>Resubmit Fee Payment</div> <div>Reports</div>						
<div>8290 - Société de Lynne</div> <div>Reset Password - Confirmation</div> <div> <div>Name:</div> <div>Stevenson, Bobby-Joe</div> </div> <div> <div>Role:</div> <div>AFR Administrator</div> </div> <div> <div>User ID:</div> <div>STEVE0014</div> </div> <div> <div>Password:</div> <div>ydfyn5mc</div> </div> <div> <div><i>Password has been reset</i></div> <div><i>Password must be changed the first time you log in.</i></div> </div>						

## E. Revoke Access

A chief AFR or an AFR administrator uses the **Revoke Access** function to revoke NRD access of an AFR administrator or an AFR. You may not revoke the access of a chief AFR using NRD. This function may only be performed by the NRD administrator.

Click **Revoke Access** on the local navigator. The system displays a field in which to enter the user ID of the person whose access to NRD is to be revoked. Enter the user ID and click **Continue**. The system verifies the user ID and retrieves the name and role of the person whose access is to be revoked. Confirm that you have retrieved the correct record and click **Continue** to confirm the revocation. If you wish to appoint this person as an AFR administrator or an AFR for your firm in the future, you will need to perform the **Set Up Users** function.

**TIP** – If you wish to revoke the access of an AFR who has outstanding submissions, you must re-assign the submissions to another AFR before revoking the access.



FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
<div> <div> Set Up Users  Maintain Users  Change Password  Reset Password  <b>Revoke Access</b>  Resubmit Fee Payment  Reports </div> <div> 20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc. </div> </div>						
<div> <div>Revoke Access</div> <div> Name: Stevenson, Alec  Role: AFR </div> <div> Continue &gt;&gt; Cancel </div> </div>						

## F. Resubmit Fee Payment

The **Resubmit Fee Payment** function is used to submit fees through NRD to correct a default payment or to remit additional funds that may be required in connection with a submission, user fee or an annual registration of a firm, or payment of late filing fees related to terminations.

Click **Resubmit Fee Payment** on the local navigator. The system displays two types of fee resubmission. Select either “Correct default EFT payment” or “Resubmit additional funds directly related to a submission or annual fee renewal”, and click **Continue**.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
<div> <div> Set Up Users  Maintain Users  Change Password  Reset Password  Revoke Access  <b>Resubmit Fee Payment</b>  Reports </div> <div> 20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc. </div> </div>						
<div> <div>Resubmit Fee Payment</div> <div> <input type="radio"/> Correct default EFT payment  <input type="radio"/> Resubmit additional funds directly related to a submission or annual fee renewal </div> <div> Continue &gt;&gt; Reset </div> </div>						

If you select “Correct default EFT payment”, the system will display a full list of default payments (if any) to be made. To complete this function, you must confirm payment of all default payments at once; you are not permitted to pay them individually. “Default payments” are fees that should have been paid in connection with a submission or annual fee pull via the EFT function, but were unsuccessfully withdrawn from the firm’s NRD account.



## Resubmit Fee Payment

### Payment Details

Submission No.	Submission Type	Payment State	Fee Amount
200370947	Final Annual Fee Notice	Rejected	\$481.50

#### Fee Summary:

Submission Total:	\$481.50
Administrative Fee Amount:	\$0.00
GST 7%	\$0.00
	-----
Grand Total:	\$481.50
	=====

The amount of \$481.50 will be withdrawn from Bank Account # 2010896013 via Electronic Fund Transfer.

Printable Page

Acknowledge

If you select “Resubmit additional funds directly related to a submission or annual fee renewal”, the system will present the following screen:

## 21550 - Société Guèvremont Inc.

### Resubmit Fee Payment

#### Payment Details

Submission No.:	<input type="text" value="200467756"/>
Fee Recipient:	<input type="text" value="Ontario Securities Commission"/>
Submission Fee Amount:	<input type="text" value="75.00"/>
Reason for Payment:	<input type="text" value="Late filing fee"/>

Continue >>

You may be required to use the **Resubmit Fee Payment** function to pay late filing fees related to termination submissions to the regulators. The regulator will notify you of this requirement. You must manually enter the submission number, the amount and the reason, and select the fee recipient from the drop-down list. Click **Continue** to confirm:

## 21550 - Société Guèvremont Inc.

### Resubmit Fee Payment

#### Payment Details

Submission No.:	200467756
Fee Recipient:	Ontario Securities Commission
Submission Fee Amount:	\$75.00
NRD Fee Amount:	\$0.00
GST 7%	\$0.00
Reason for Payment:	Late filing fee
Grand Total:	\$75.00

**The amount of \$75.00 will be withdrawn from Bank Account # 321321321 via Electronic Fund Transfer.**

[Printable Page](#)[Acknowledge](#)

Once you click Acknowledge for either resubmit function, the system will display a confirmation message for the payment. The system will debit your NRD account only after you have confirmed and authorized the amount shown.

[FIRM SUBMISSION](#)[INDIVIDUAL SUBMISSION](#)[SEARCH](#)[WORK IN PROGRESS](#)[SENT TO REGULATORS](#)[FIRM INFORMATION](#)[ADMIN TOOLS](#)

[Set Up Users](#)[Maintain Users](#)[Change Password](#)[Reset Password](#)[Revoke Access](#)[Resubmit Fee Payment](#)[Reports](#)

## 21550 - Société Guèvremont Inc.

### Payment Confirmation

The payment has been resubmitted

[FIRM SUBMISSION](#) | [INDIVIDUAL SUBMISSION](#) | [SEARCH](#) | [WORK IN PROGRESS](#)  
[SENT TO REGULATORS](#) | [FIRM INFORMATION](#) | [ADMIN TOOLS](#)

These payments will appear on the Submission History of the appropriate submission.

## G. Reports

The **Reports** function on NRD is used to generate various reports on the NRD records for your firm and individuals. These reports may be printed or saved electronically for your records. It is also advisable to print out your criteria page for complex reports before generating them. Reports are generated based on the criteria you stipulate. The following report types are available in Excel, CSV and PDF format:

- [Reconciliation Report by Submission](#)
- [Reconciliation Report by EFT](#)

- [List Registrants Report](#)
- [List AFRs Report](#)
- [Progress Report on Submission for Individuals Included in Data Transfer](#)
- [Annual Fee Detailed Report](#)
- [Submission Status Report](#)

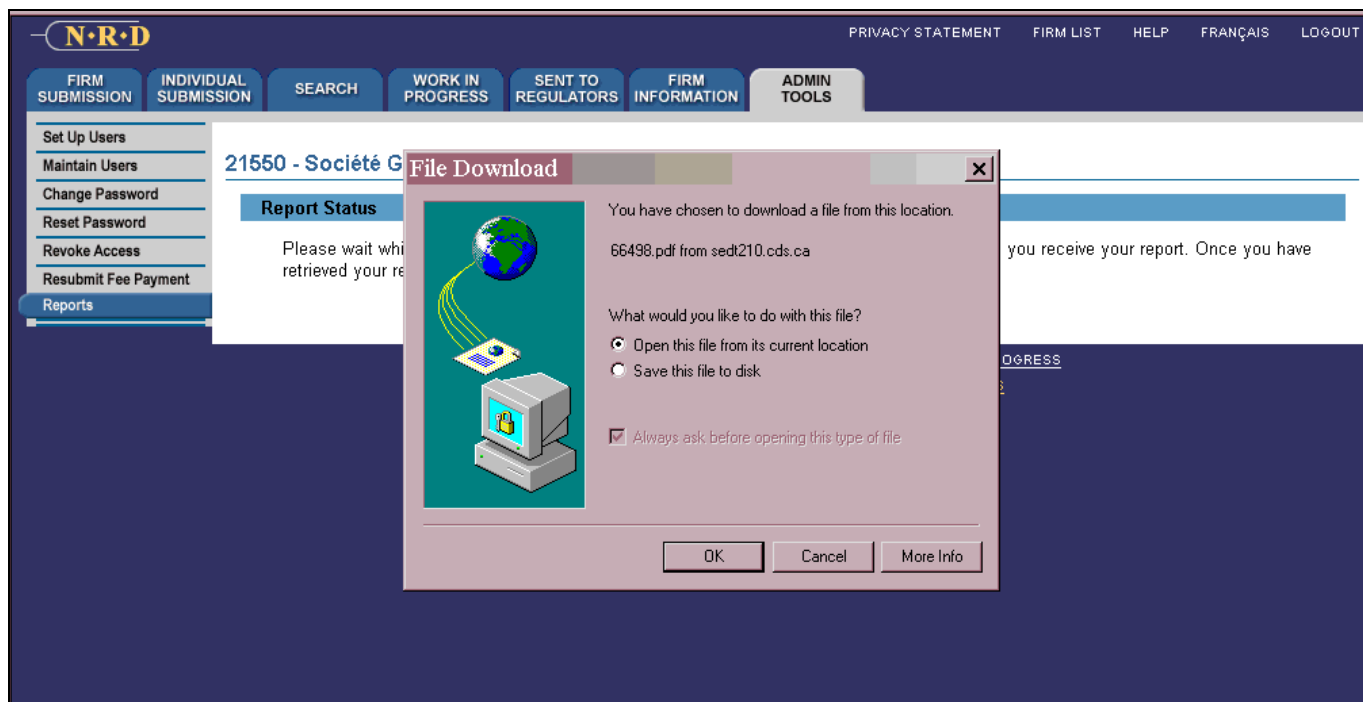
Viewing PDF documents requires Adobe Acrobat Reader. [The Permanent Record Report for an Individual Registrant](#) is available only in PDF format.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
<div> <div> <a href="#">Set Up Users</a>  <a href="#">Maintain Users</a>  <a href="#">Change Password</a>  <a href="#">Reset Password</a>  <a href="#">Revoke Access</a>  <a href="#">Resubmit Fee Payment</a>  <a href="#">Reports</a> </div> <div> <h2>18400 - TEST MANAGEMENT LIMITED</h2> <hr/> <a href="#">Generate Reconciliation Report by Submission</a>   <a href="#">Generate Reconciliation Report by EFT</a>   <a href="#">List Registrants</a>   <a href="#">List AFRs</a>   <a href="#">Generate Progress Report on Submission for Individuals Included in Data Transfer</a>   <a href="#">Generate Permanent Record Report for an Individual Registrant</a>   <a href="#">Generate Annual Fee Detailed Report</a>   <a href="#">Generate Submission Status Report</a>   <a href="#">Recall Report by Number</a> </div> </div>						

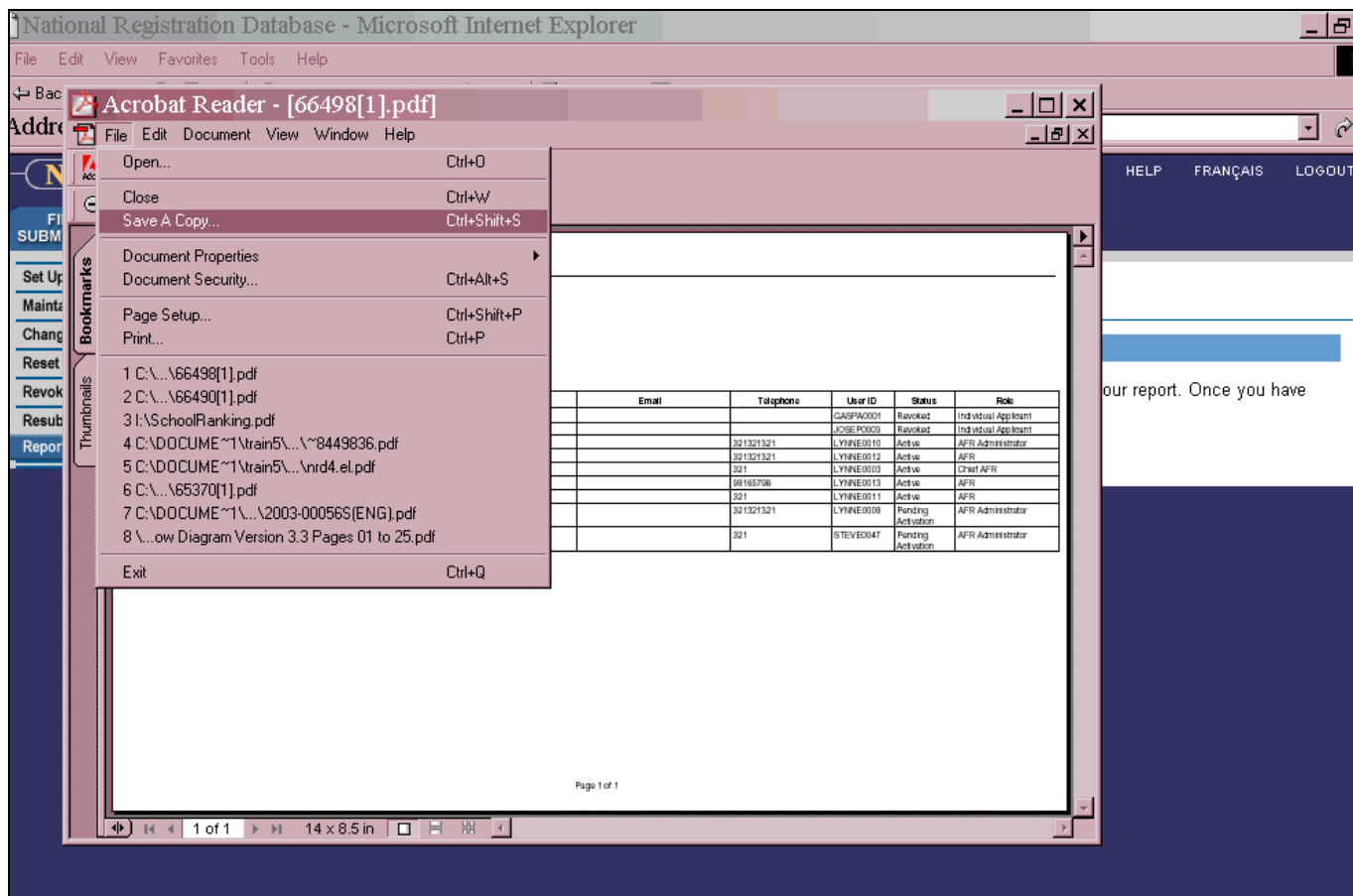
**TIP** – If you generate a report in one language, that specific report is not viewable in the other official language, even if you log in to the other language version of the site to retrieve it. To view the same criteria in both French and English, you must generate a report from each language version of the site, i.e. log in to the French version of the site to generate a report with French headings.

**NOTE** - NRD report data is updated throughout the day to match data that has been entered into the NRD application. In addition, all reports are retrieved within the same business day regardless of the size, although larger reports take longer to produce.

For any report type, once you click **Generate Report**, the system will advise you of the progress of the report creation. When the report is ready, the system launches the report in the format you selected and a pop-up message appears.



If you select “Save this file to disk,” you may store the report electronically on your own system and access it when convenient. If you select “Open this file from its current location,” the system will launch Excel if you selected Excel or CSV formats or Acrobat Reader if you selected PDF format. You can now view and print the report. To save it on your own system, click “File” in the upper left corner of the new window and select “Save as”. You may rename and store the file as appropriate. You will notice that the system generates a report number that is included in the file name for the report.



## 1. Reconciliation report by submission

A reconciliation report by submission is a listing of submissions made by your firm that shows the submission fees paid and the status of those payments. This report is a tool for reconciling your firm's NRD account statements to NRD's fee payment records. You may generate a Report by Submission based on the following criteria: submission type; fee submission date; and fee status.

**Generate Reconciliation Report by Submission**

Please enter information in the "From" and "To" boxes below to create a report showing the status of fees paid for each submission. The remaining fields are optional.

Fee Submission Date: From:  /  /  (YYYY/MM/DD)  
 To:  /  /  (YYYY/MM/DD)

Submission Type:

Fee Status:

Report Format: ☒ PDF  
☐ Excel  
☐ Comma-separated Values (CSV)

The Report by Submission arranges data as follows:

- Submission: NRD Number; Type
- NRD Number and Name of Firm or Individual to whom the submission pertains
- AFR who made the submission to regulators thereby authorizing the EFT
- Fee Submission: Date; Payment Type; Record Type (C = Credit, D = Debit); Amount and Status (Created, Exchanged, Paid, Returned, Rejected). It is advisable to perform reconciliations using the Exchanged status dates rather than the Paid dates.
- EFT Identifier Number
- EFT Process Date

NRD Report													
Time Run:		1:13:22pm											
Date Run:		2004/05/06											
Who Requested Report:		Lynne, Lynnedebin											
Name of Report:		Reconciliation Report by Submission											
Submission Type:		All											
Fee Submission Date:		From 2004-04-01 to 2004-05-06											
Fee Status:		All											
Firm NRD No.:		21550											

Submission Information		Applicant Information		Fee Submitter		Fee Submission			EFT Information					
No.	Type	NRD No.	Firm Name OR		Last Name	First Name	Date	Payment Type	Record Type	Amount	Payee	Status	EFT Identifier	Process Date
			Last Name	First Name										
200467157	Initial Registration	1325341	Guèvremont	Josée	Lynne	Lynnedebin	4/19/2004	Initial	C	133.75	NRD Revenue	Created		4/20/2004
									D	133.75	Société Guèvremont Inc.	Created		
200467159	Open a Location	21550	Société Guèvremont Inc.		Lynne	Lynnedebin	4/16/2004	Initial	C	50.00	British Columbia Securities Commission	Created		4/19/2004
									D	50.00	Société Guèvremont Inc.	Created		
200467260	Reactivation of Registration	990961	Agis	Judith	Lynne	Lynnedebin	4/19/2004	Initial	C	133.75	NRD Revenue	Created		4/20/2004
									D	133.75	Société Guèvremont Inc.	Created		
200467291	Reactivation of Registration	130711	Allen	Barbie	Lynne	Lynnedebin	4/19/2004	Initial	C	400.00	Ontario Securities Commission	Created		4/20/2004
									C	133.75	NRD Revenue	Created		
									D	533.75	Société Guèvremont Inc.	Created		

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## 2. Reconciliation report by EFT (electronic funds transfer)

A reconciliation report by EFT is a listing of electronic funds transfers from your firm's designated account that shows the amounts debited from that account over a period of time. Like the reconciliation report by submission, this report is a tool for reconciling your firm's designated account statements to NRD's fee payment records.

The only required criterion for this report is the process date range. You may also use the following criteria to generate a report: EFT identifier number, EFT Status, and the regulator to whom the EFT was made.

### Generate Reconciliation Report by EFT

Enter information in either the EFT Identifier box or the "From" and "To" boxes below to create a report showing transactions in a bank account for each electronic funds transfer.

EFT ID :

**OR**

EFT Process Date: From:  /  /  (YYYY/MM/DD)

To:  /  /  (YYYY/MM/DD)

**AND**

EFT Status:

SRA/SRO:

Report Format: ☒ PDF  
☐ Excel  
☐ Comma-separated Values (CSV)

The EFT report arranges data as follows:

- EFT: Identifier Number; Value Date; Amount; Status; Record Type (C = Credit, D = Debit)
- Firm: NRD Number; Name
- Submission: NRD Number; Type; Amount; Submission Date; Submission Fee Status; Status Date
- regulator to which the EFT was credited



NRD Report													
Time Run:		1:22:49pm											
Date Run:		2004/05/06											
Who Requested Report:		Lyrne, Lynnedabin											
Name of Report:		Reconciliation Report by EFT											
EFT Process Date:		From 2004-01-01 to 2004-03-01											
EFT Status:		All											
Firm NRD No.:		3490											
SRA/SRO:		All											

EFT			Firm				Submission							
EFT Identifier	Process Date	Amount	Payee	Status	Record Type	NRD No.	Name	No.	Type	Amount	Date	Payment Type	Status	Status Date
200401026	1/2/2004	481.50	NRD Revenue	Exchanged	C	3490	CITIGROUP GLOBAL MARKETS INC.	2003239175	Final Annual Fee Notice	481.50	12/31/2003	Final	Created	12/31/2003
	1/8/2004		NRD Revenue	Paid				2003239175	Final Annual Fee Notice	481.50	12/31/2003	Final	Paid	01/08/2004
<b>Total</b>		<b>481.50</b>												
200401027	1/2/2004	75,000.00	Ontario Securities Commission	Exchanged	C	3490	CITIGROUP GLOBAL MARKETS INC.	2003239175	Final Annual Fee Notice	75,000.00	12/31/2003	Final	Created	12/31/2003
	1/8/2004		Ontario Securities Commission	Paid				2003239175	Final Annual Fee Notice	75,000.00	12/31/2003	Final	Paid	01/08/2004
<b>Total</b>		<b>75,000.00</b>												
200401021512	1/2/2004	75,481.50	CITIGROUP GLOBAL MARKETS INC.	Exchanged	D	3490	CITIGROUP GLOBAL MARKETS INC.	2003239175	Final Annual Fee Notice	75,481.50	12/31/2003	Final	Created	12/31/2003
	1/8/2004		CITIGROUP GLOBAL MARKETS INC.	Paid				2003239175	Final Annual Fee Notice	75,481.50	12/31/2003	Final	Paid	01/08/2004
<b>Total</b>		<b>75,481.50</b>												

### 3. List Registrants report

The List Registrants report lists individuals associated with your firm, according to selected criteria. Report criteria available include:

- NRD number of individual
- Individual's name
- Registration status of individual:
  - Active
  - Suspended (Regulatory Action)
  - Suspended (Regulatory Action) - Firm
  - Suspended (Pending Termination)
  - Suspended (Employment Termination)
  - Suspended (Surrender)
  - Suspended (Bulk Annual Fee Exclusion)
  - Suspended (Bulk Transfer)
  - Suspended (Not Renewed) - Firm
  - Suspended (Pending Surrender) - Firm
  - Terminated (Regulatory Action)
  - Terminated (Regulatory Action) - Firm

TIP – You will only see statuses that are actually held by individuals at your firm. For example, if there are no Suspended (Bulk Transfer) individuals at your firm, that status will not be an available criterion.

- NRD number of individual’s business location
- provinces and territories of registration
- firm categories
- individual categories

There are two stages to establishing the criteria for this report. In the first stage, you may specify the following criteria:

- Employment Location NRD number (branch number)
- Jurisdiction (defaults to All jurisdictions in which the firm is registered)

**Generate Individual Registrant Report**

To request a report for all individual registrants within a firm, press 'Continue>>'. For individual registrants in a specific location or jurisdiction, please enter either an "Employment Location NRD No" or a "Jurisdiction".

Employment Location NRD No.:

Jurisdiction:

In the second stage, you may specify the following criteria:

- Registration status of individuals (the system will only display the statuses that exist among the registrants in your firm, according to the employment location or jurisdiction you selected on the previous screen)
- Firm registration categories
- Individual categories
- Report format

If you wish to list all the registrants that fall under the criteria you selected on the first screen, check the “All” status checkbox, and check the “All” categories checkbox. If these two are checked, no matter what specific selections you make further down the screen, the system will generate a report on all registrants.

The system sorts your criteria from “top to bottom”. If you wish to be more specific, do not check the “All” box. Find the specific categories for which you wish to retrieve data. Firm categories are in bold text, and the individual categories that fall under the firm category are indented and in regular text.

If you select a firm category AND an individual category within that firm category, the system will ignore your individual category selection and simply retrieve data for all the individuals who fall under the selected firm category, regardless of their individual categories.

If you wish to retrieve data pertaining to a specific individual category, select that category, but do not select the firm category under which it falls.

In this example, the user wishes to view the Active Branch Managers in Prince Edward Island. The user checks “Active” on the Registration Status list, then under Prince Edward Island Categories /Mutual Fund Dealer, checks “Dealing Representative”.

TIP – Were the user to also check “Mutual Fund Dealer” the system would retrieve all Active individuals under that firm category, not just Branch Managers.

**Generate Individual Registrant Report**

**Registration Status** ☐ All ☒ Active ☐ Suspended (Employment Termination)

Select one or more categories from the list or check:

**Select Categories:** ☐ All  
Click on the Firm category checkbox to request all individual categories within the Firm category or check each individual category:

**Prince Edward Island**

**Categories**

☐ **Permitted Activities and Ultimate Designated Person**  
☐ Officer  
☐ Partner

☐ **Mutual Fund Dealer**  
☐ Dealing Representative  
☒ Branch Manager (MFDA members only)

☐ **Exempt Market Dealer**  
☐ Dealing Representative  
☐ Chief Compliance Officer

**Report Format** ☒ PDF ☐ Excel ☐ Comma-separated Values (CSV)

TIP – Once you are satisfied with your criteria, you may wish to print this screen by using the Print command on your browser’s File menu. The criteria will not be listed as such on your report.

At the bottom of this screen you may also select the report format – PDF, CSV or Excel.

The List Registrants report arranges data as follows:

- Individual: NRD Number; Last Name; First Name; Second Name; Employment Location NRD Number

- Registration Information: Jurisdiction; Status; Firm Registration Category; Individual Category

NRD Report								
Time Run:		1:49:08 pm						
Date Run:		5/6/2004						
Firm Legal Name:		Société Guévrement Inc.						
Firm NRD Number:		21550						
Who Requested Report:		Lynne, Lynnedabin						
Name of Report:		Individual Registrant Report						
Individual Details					Registration Information			
NRD No.	Last Name	First Name	Second Name	Employment Location NRD No.	Jurisdiction	Status	Firm Registration Category	Individual Registration Category
890961	Agis	Judith	Anne	260942	British Columbia	Active	Investment Counsel ( Securities and Exchange Contracts)	Compliance Officer
890961					Ontario	Active	International Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)	Officer (Non-Advising, Non-Resident)
130711	Allen	Barbie		260942	British Columbia	Active	Investment Counsel ( Securities and Exchange Contracts)	Partner (Non-Advising)
130711					Ontario	Active	International Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)	Partner (Advising, Resident)
891291	Barradough	Christopher	Phillip	260942	Ontario	Active	International Adviser (Investment Counsel & Portfolio Manager) & Commodity Trading Manager (Non-Resident)	Partner (Advising, Resident)

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#### 4. List AFRs report

This report lists information on the AFRs and any individual applicants associated with your firm. You may generate a List AFRs report without specifying any criteria. This will produce a report of all your firm's AFRs and individual applicants. You may also generate a report according to the following criteria:

- AFR Status
- AFR Role (Chief AFR, AFR Admin, AFR or Individual Applicant)
- AFR Name

The List AFRs report arranges data as follows:

- AFR's Name: Last Name; First Name; Second Name; Third Name
- Contact Info: Email; Telephone
- User ID
- Status
- Role

NRD Report								
Time Run:	1:50:10pm							
Date Run:	2004/05/06							
Firm Legal Name:	Société Guévinmont Inc.							
Firm NRD No:	21560							
Who Requested Report:	Lynne, Lynnedebin							
Name of Report:	Authorized Firm Representative Report							
Last Name	First Name	Second Name	Third Name	Email	Telephone	User ID	Status	Role
GASPAR	JOSE	FERREIRA				GASPA0001	Revoked	Individual Applicant
JOSEPH	GERRY					JOSEP0003	Revoked	Individual Applicant
lynnesstress	lynnespoo				321321321	LYNNE0010	Active	AFR Administrator
lynnesypoo	lynne				321321321	LYNNE0012	Active	AFR
Lynne	Lynnedebin				321	LYNNE0003	Active	Chief AFR
Lynnedebast	Lynne				98166798	LYNNE0013	Active	AFR
Lynnester	Lynne				321	LYNNE0011	Active	AFR
Lynnester	Lynnedebin				321321321	LYNNE0008	Pending Activation	AFR Administrator
stevenson	lynne				321	STEVE0047	Pending Activation	AFR Administrator

## 5. Generate Progress Report on Submission for Individuals Included in Data Transfer

This report type allows you to view the status of submissions for individuals included in the Data Transfer. You may select any or all of the following optional criteria to generate your report:

- Employment Location NRD number
- Jurisdiction
- Submission Status (Not Started, Work In Progress, Completed, defaults to All)

Generate Progress Report on Submission for Individuals Included in Data Transfer	
To retrieve a report with all Individuals within a firm, please press 'Generate Report'. For specific Individuals, please enter information in any of the other fields.	
Employment Location NRD No.:	<input type="text"/>
Jurisdiction:	<input type="text" value="All"/>
Submission Status:	<input type="text" value="All"/>
Report Format:	<input checked="" type="radio"/> PDF <input type="radio"/> Excel <input type="radio"/> Comma-separated Values (CSV)
<input type="button" value="Generate Report"/> <input type="button" value="Reset"/>	

NRD Report							
Time Run:	12:31:05 pm						
Date Run:	5/7/2004						
Who Requested Report:	Tincopa, Erwin						
Name of Report:	Progress Report on Submissions for Individuals Included in Data Transfer						
Firm Legal Name:	Société Guèvremont Inc.						
Firm NRD Number:	21550						
NRD No.	Last Name	First Name	Second Name	Employment Location NRD No.	Employment Location Address Line 1	Jurisdiction of Registration	Status
35201	Stevenson	Marise	Brigitte	264892	5, rue LaForêt	Ontario	Not Started
24351	Guèvremont	Raymonde		56232	321, rue Charlebois	Ontario	Not Started
90301	Ferguson	Isobel	Sara	5441232	41, ch. Boulangerie	Ontario	Work In Progress
591231	Stevenson	John	Alexander	5894112	366 Cleaver Ave.	British Columbia	Complete
591231				5441232	41, ch. Boulangerie	Ontario	Complete
45801	Tincopa	Erwin	Mirzo	264892	5, rue LaForêt	Ontario	Complete
411101	Stevenson	Lynne	Marie	264892	5, rue LaForêt	Ontario	Complete
Total Completed: 3 (50.00%) Total Work In Progress: 1 (16.67%) Total Not Started: 2 (33.33%)							

## 6. Generate Permanent Record Report for an Individual Registrant

Use this report to generate a copy of an Individual's Permanent Record. Enter the individual's NRD number and when you are ready, click **Generate Report**. If the criteria is valid, the system displays a message advising you that the report is being generated. You may only generate a report for individuals associated with your firm. This report is only available in PDF format.

Generate Permanent Record Report for an Individual Registrant	
Enter the individual registrants NRD No. to create a permanent record report for an individual registrant.	
Individual NRD No.:	<input type="text"/>
<input type="button" value="Generate Report"/> <input type="button" value="Reset"/>	

FORM 33-109F4 REGISTRATION INFORMATION FOR AN INDIVIDUAL			
Who Requested Report: Lynne, Lynnedebin    Date: 2004/05/07    Time: 12:51:16 pm			
<b>Item 1 - Name</b>			
<b>1. Legal Name</b>			
Stevenson, Marise, Brigitte			
<i>Last name, First name, Second name (if applicable), Third name (if applicable)</i>			
<b>2. Other Names</b>			
Are you currently, or have you previously, been known by a name other than the name mentioned above? <span style="float: right;">Yes</span>			
If "Yes", complete Schedule "A".			
<b>Item 2 - Residential address</b>			
<b>Current Address</b>			
Provide all residential addresses, including any foreign residential addresses, for the past 10 years.			
Residential Address:                      32, rue Bowman, Toronto, Ontario, Canada, m1m1m1			
Telephone Number:            416-998-7563            Resided at this address since:            2004/05			
If you have resided at this address for less than 10 years, complete Schedule "B".			
<b>Item 3 - Personal Information</b>			
<b>Personal Description</b>			
Date of Birth:            1900/01/01		Place of birth:            Kapuskasing, Ontario, Canada	
(YYYYMMDD)		(city, province, territory or state, country)	
Gender:            Female	Colour of eyes:            Bleu	Colour of hair:            Blond	
Height:            65 inches			
Weight:            135 lbs			
<b>Item 4 - Citizenship</b>			

## 7. Generate Annual Fee Detailed Report

Firms can generate three different reports in order determine annual fees as grouped by:

- Individual registrant
- Branch location
- Fees paid for (Commissions, IIROC, NRD user fees)

The Annual Fee Detailed Report uses the following criteria:

- Year
- Summary type
- Report type
- Location NRD number (if applicable)
- Fees paid for (if applicable)

➤ Report format

**5555 - KAPUSKASING ASSET MANAGEMENT INC. / GESTION DE PLACEMENTS KAPUSKASING INC.**

**Generate Annual Fee Detailed Report**

Please select a "Year" and "Summary Type" to generate an annual fee detailed report.

To generate an "Individual" report type, do not alter the "Location NRD No." field.

To generate a "Location" report type, do not alter the "Fees paid for" field. For a specific location, complete the "Location NRD No." field.

To generate a "Fees paid for" report type, do not alter the "Location NRD No." field and select the appropriate value from the drop down menu.

Year: 2006-11

Summary Type: Final Annual Fee Notice

Report Type: Individual

Location NRD No.: To generate a report for all locations, leave 'Location' field blank

Fees Paid For: All

Report Format:  
☒ PDF  
☐ Excel  
☐ Comma-separated Values (CSV)

Generate Report Reset

The year of the fee run and the summary type (preliminary or annual) must be indicated. All other criteria are selected based on which of the three reports types is being generated.

To generate a report that is sorted by individuals within a firm, and indicates all annual fees associated with those individuals, select "Individual" for report type; do not input information for "Location NRD Number."

To generate a report that attributes fees to locations, indicate this in the "Report Type" field, but do not make a change to the "Fees paid for" field. For a report of fees to a specific location, complete the "Location NRD Number" field.

To generate a report that breaks down annual fees paid to any or all of the regulators, or the NRD User Fees paid to CDS, select the "Fees Paid For" report type and do not include a "Location NRD number" value.

The report then provides the following information grouped according to the report type selected:

- Individual NRD number
- Individual name
- Firm category
- Individual category
- Jurisdiction



- Fee type
- Amount
- Total

## NRD Report

Time Run: 11:56:42 am  
 Date Run: 10/3/2006  
 Firm NRD No.: 28300  
 Firm Name: Test Firm  
 Year: 2006-10  
 Summary Type: Final Annual Fee Notice  
 Who Requested Report: angus, scott  
 Name of Report: Annual Fee Detailed Report - Individual

Individual NRD No.	Name	Firm Category	Individual Category	Location NRD No.	Jurisdiction	Fee Type	Amount
1950261	Smith, John Smith, John	Investment Counsel & Portfolio Manager	Officer & Director (Advising, Resident)	415862	ON -	Commission Fee NRD User Fee	\$0.00 \$79.50
						<b>Total:</b>	<b>\$79.50</b>
1950271	Doe, Jane	Portfolio Manager and Investment Counsel (Securities)	Compliance Officer	415892	BC	Commission Fee	\$0.00
	Doe, Jane		Officer and Director (Advising)	415892	BC	Commission Fee	\$250.00
	Doe, Jane	Investment Counsel & Portfolio Manager	Chief Compliance Officer	415892	ON	Commission Fee	\$0.00
	Doe, Jane		Officer & Director (Advising, Non-Resident)	415892	ON	Commission Fee	\$0.00
	Doe, Jane	Unrestricted Practice Advisor	Officer - Director - Officer responsible for Quebec activities	415892	QC	Commission Fee	\$0.00
	Doe, Jane				-	NRD User Fee	\$185.50
						<b>Total:</b>	<b>\$435.50</b>
1950281	Anderson, Suzanne	Portfolio Manager and Investment Counsel (Securities)	Advising Employee	415892	BC	Commission Fee	\$250.00
	Anderson, Suzanne	Investment Counsel & Portfolio Manager	Advising Representative	415892	ON	Commission Fee	\$0.00
	Anderson, Suzanne	Unrestricted Practice Advisor	Representative (Portfolio Manager)	415892	QC	Commission Fee	\$375.00
					-	NRD User Fee	\$185.50
						<b>Total:</b>	<b>\$810.50</b>
1950291	Grey, Jack	Portfolio Manager and Investment Counsel (Securities)	Partner (Advising)	415862	BC	Commission Fee	\$250.00
	Grey, Jack	Investment Counsel & Portfolio Manager	Partner (Advising, Resident)	415862	ON	Commission Fee	\$0.00
	Grey, Jack	Unrestricted Practice Advisor	Partner	415862	QC	Commission Fee	\$0.00
					-	NRD User Fee	\$185.50
						<b>Total:</b>	<b>435.50</b>
		Portfolio Manager and Investment Counsel (Securities)			BC	Commission Fee	\$1,500.00
		Participation Fee			ON	Commission Fee	\$10,000.00
		Unrestricted Practice Advisor			QC	Commission Fee	\$1,500.00
		Address for Service		415882	BC	Location Fee	\$0.00

## **8. Submission Status Report**

Use this report to generate a summary for the following information:

- Within a specific date range, a list of submissions that were assigned a disposition by the Regulators and;
- a list of pending submission with the Regulators.

There are seven criteria that can be entered to create this report:

- Action date; this date can be from one day to one year. The report will list those submission disposed on or during the date(s) specified.
- Submission Type; an AFR can select the report to list specific submission types or all submission types. Only individual type submissions will be listed.
- Submission Status; you can further narrow down to include only submission that have a certain status, that is: approved, denied, withdrawn or returned to firm.
- Jurisdiction; an AFR can request for the report to list submissions pending and/or disposed by a particular jurisdiction.
- AFR; you can summarize the state of submissions sent by a particular AFR for a firm
- Employment Location NRD Number; If an AFR wants to see the status of submission for individuals at a specific location the location NRD number can be entered.
- Include submissions that are not disposed; checking this triggers the inclusion of submissions that have not yet been assigned a disposition by the regulators, where the submission date is up to one year before the creation of the report.

After making your selections, click Generate Report. If the criteria is valid, the system displays a message advising you that the report is being generated. You may only generate a report for individuals associated with your firm. This report available in the formats common to all NRD reports (PDF, Excel or CSV).

### Generate Submission Status Report

Enter information to create a report showing the status of submissions.

Action Date: From: 2007 / 05 / 16 (YYYY/MM/DD)  
To: 2007 / 05 / 17 (YYYY/MM/DD)

To select one or more submission types, click on a submission type, hold the CTL key to select more than one submission type. To remove a submission type, hold the CTL key and click on the submission type. The same applies for the submission status.

Submission Type: All  
Change or Surrender of Individual Categories  
Apply for an Exemption  
Initial Registration

Submission Status: Approved  
Denied  
Withdrawn  
Returned to Firm

Jurisdiction: All

AFR: All

Employment Location NRD No.:

☒ Include submissions that are not disposed

Report Format:  
☒ PDF  
☐ Excel  
☐ Comma-separated Values (CSV)

Generate Report

Reset

The report then provides the following information divided into two sections: i) the application information on the left, and ii) the submission information on the right

Applicant Information includes the applicant's NRD number, name and employment location NRD number. The employment location is either the current employment location of the individual or a location pending approval.

Submission Information; groups submission types together and then sorts them by submission date. A submission sent to multiple jurisdictions, will include the status of the submission with each of the jurisdictions. The "Jurisdiction" field will distinguish between the commission or IIROC office from which disposition is pending or has been applied. The name of the AFR who made the submission will also be shown.

## NRD Report

Time Run: 5:33:21pm  
 Date Run: 2007/05/18  
 Who Requested Report: Tsatsou, Panoraia  
 Name of Report: Submission Status Report

Action Date: From 2007-05-16 to 2007-05-18  
 Submission Type: All  
 Submission Status: All  
 Jurisdiction: All  
 AFR: All  
 Firm NRD No.: 30980  
 Firm Name: Ideal Investments  
 Include submissions that are not disposed

Applicant Information				Submission Information							
NRD No.	Last Name	First Name	Location NRD No.	Submission Type	Date Submitted	Submission No.	Jurisdiction	Action	Date Action Applied	AFR	
										Last Name	First Name
2064631	Keskembe	John	452402	Initial Registration	2007/05/18	200785829	Securities Commission of Newfoundland and Labrador	Approved	2007/05/18	Tsatsou	Panoraia
							New Brunswick Securities Commission	Pending	2007/05/18		
							Nova Scotia Securities Commission	Pending	2007/05/18		
							Prince Edward Island Securities Registry	Pending	2007/05/18		

Page 1 of 2

Applicant Information				Submission Information							
NRD No.	Last Name	First Name	Location NRD No.	Submission Type	Date Submitted	Submission No.	Jurisdiction	Action	Date Action Applied	AFR	
										Last Name	First Name
2064641	Karpodini	Peter	452402	Initial Registration	2007/05/16	200785833	Securities Commission of Newfoundland and Labrador	Approved	2007/05/18	Tsatsou	Panoraia
2064651	Karpodini	Drosia	452402	Reactivation of Registration	2007/05/16	200785838	Securities Commission of Newfoundland and Labrador	Pending	2007/05/16	Tsatsou	Panoraia
2064651	Karpodini	Drosia	452402	Residential Address Change	2007/05/18	200785915	Securities Commission of Newfoundland and Labrador	Pending	2007/05/18	Tsatsou	Panoraia

## 9. Recall Report by Number

Every report generated by NRD receives a report number. You may recall any of your reports with the **Recall Report by Number** function on the Reports Menu, up to seven days after it was first generated. After this period, the report is no longer available on the system. Of course, should your report expire before you have the chance to save it on your own system, you can generate a new report using the same criteria. However, your purposes for the report may be date-sensitive. Therefore, it is best to save the report on your own system as soon as it is generated.

If the report is large or if the system is extremely busy, you may receive a message that provides a report number and advises you to retrieve the report later. Record that number and use the **Recall Report by Number** function at a later time, but before the 7-day period ends.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
Set Up Users	8610 - Société Universelle de Lynne					
Maintain Users	Report No.: 7243					
Change Password	Your report has been scheduled successfully but is not ready for retrieval. Record our Report No. "7243" and return later to retrieve your report.					
Reset Password						
Revoke Access						
Resubmit Fee Payment						
Reports						

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
Set Up Users	8610 - Société Universelle de Lynne					
Maintain Users	Retrieve Report by Report No.					
Change Password	Enter your Report No. in the text box below to retrieve your report:					
Reset Password	Report No.: <input type="text" value="7243"/>					
Revoke Access	<input type="button" value="Retrieve Report"/> <input type="button" value="Reset"/>					
Resubmit Fee Payment						
Reports						

## CHAPTER 9 - SEARCHING FOR AND VIEWING INFORMATION ON NRD

### Chapter Outline

This chapter tells you how to search for and view registration information on NRD and describes the type of information you may search for and view.

#### A. The Search function

The NRD **Search** function allows you to find an individual associated with your firm, a business location of your firm or an individual or firm submission prepared by an AFR for your firm. The **Search** function provides detailed information about an individual, submission or location, including NRD numbers. Viewing information is explained later in this chapter.

#### B. How to search the system

Once you have logged in to the system, click Search on the main navigator or task menu.

**Names with French characters:** all French characters are allowable except æ and œ. Use separate characters “ae” and “oe” instead. If you need to search a name with French accents but do not have access to French keyboard settings, you may enter plain text to obtain the same search results. For example, if you are searching for an individual associated with you firm with the last name “Guèvremont”, you may enter “Guevremont” and the system will still be able to find that record.

The system displays four search types. Click the hyperlink of the search type you wish to execute.

The screenshot displays the NRD system's main navigation bar with buttons for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The SEARCH button is highlighted. Below the navigation bar, the page title reads "20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.". A "Task Menu" section is visible, containing four hyperlinks: Individual, Firm Submission, Individual Submission, and Location.

#### 1. Search criteria

You will notice that on the Firm and Individual Submission search forms, you can select “Current” or “All” as a criterion. A “Current” submission is one that is still in WIP. Select

“All” if you also want to include in your search submissions that are still in WIP or that have been disposed by regulators as “Abandoned”, “Withdrawn” or “Denied”.

Only Chief AFRs and AFR Admins can view submissions that are still in the WIP of other AFRs at their firm.

## 2. Searching for individuals and locations

The Individual search form:

**Search for Individual**

**Search Criteria**

Enter information in at least one of the text boxes below to begin your search:

NRD No.:

**OR**

Last Name:

First Name:

Second Name (if applicable) :

Third Name (if applicable) :

Date of Birth (optional) :  /  /  (YYYY/MM/DD)

You can only search for ‘Active’ individuals with your firm.

The Location search form:

**Search for Location**

**Search Criteria**

Enter information in at least one of the text boxes below to begin your search:

NRD No.:

**OR**

Address Contains:

City:

Province/Territory:

Type of Location:

NRD No. of Branch Manager:

To retrieve Head Office information you must search by NRD No. or Type of Location.

### 3. Searching for submissions

One of the mandatory criteria for searching firm and individual submissions are the Current/All radio buttons.

- “Current” means the submission is created/in progress with an AFR or individual applicant, but not sent to regulators.
- “All” includes submissions that are created, in progress, sent to regulators and disposed.
- You cannot search for submissions that were deleted from an AFR’s WIP.

An optional criterion on both the firm and individual submission search form is the date range. This date range refers to the date of initiation of a submission – the date a submission is created by an AFR. If you enter a date range and “Current”, the system will list all submissions initiated within the date range.

NOTE: If you enter a date range and “All,” the system will return all submissions that were created, submitted to Regulators or disposed within the date range.



The Firm Submission search form:

**Search for Firm Submission**

**Search Criteria**

Enter information in at least one of the text boxes below to begin your search

Submission Status: ☐ Current Only ☒ All

Submission No.:

Submission Type:

Owner User ID:

Securities Regulatory Authority/Self-Regulatory Organization:

Date: From:  /  (YYYY/MM)  
To:  /  (YYYY/MM)

The Individual Submission search form:

Search for Individual Submission	
Search Criteria	
Enter information in at least one of the text boxes below to begin your search:	
Submission Status:	<input type="radio"/> Current Only <input checked="" type="radio"/> All
Last Name:	<input type="text"/>
First Name:	<input type="text"/>
Second Name:	<input type="text"/>
Third Name:	<input type="text"/>
Individual NRD No.:	<input type="text"/>
Submission No.:	<input type="text"/>
Submission Type:	<input type="text" value="All"/>
Date:	From: <input type="text"/> / <input type="text"/> (YYYY/MM)
	To: <input type="text"/> / <input type="text"/> (YYYY/MM)
AFR User ID:	<input type="text"/>
Securities Regulatory Authority/Self-Regulatory Organization:	<input type="text" value="All"/>
<input type="button" value="Search"/> <input type="button" value="Reset"/>	

To view the 'Work in Progress' of a given AFR search by 'Current Only' and the AFR's user ID.

#### 4. Search results

Complete the appropriate form and click **Search**. The system executes a search based on your criteria, and displays a list of any results found:

Search Results						
Showing Results:1-10 of 25						
Individual NRD No.	Name of Individual	Firm NRD No.	Name of Firm	Submission Type	Submission No.	Date Submitted
808271	Bonhomme, Lucien	20240	Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.	<a href="#">Initial Registration</a>	20034569	
808031	Boucher, Jocelyne	20240	Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.	<a href="#">Apply for an Exemption</a>	20036807	2003/02/07

The search results are displayed 10 items per page. If the results exceed 10 items, navigate among search result pages by using the **Next 10** and **Previous 10** buttons, located at the bottom of the search results page:

If the number of search results exceeds 200, you will receive an error message instructing you to narrow your search criteria.

If no date appears in the 'Date Submitted' column it indicates that the submission is in WIP and has not yet been submitted to Regulators.

## 5. Hyperlinks for viewing information

To view the details of a particular search result, click the hyperlinked portion of that search result. The hyperlink will be the last name of an Individual, the submission type of a Firm or Individual submission, and the NRD number of a Location.

## C. Viewing information on NRD

You may view information on NRD regarding your firm, individuals associated with your firm, firm and individual submissions made by AFRs for your firm and locations of your firm along with historical data associated with any of these.

### 1. Individual information – Permanent Record

NRD allows you to view an individual's current and historical registration information (Form 33-109F4 information). This information consists of the following:

#### (a) Name (Item 1 of Form 33-109F4)

The full legal name of the individual, information regarding other names used by the individual and historical data for both.

**(b) Residential Address (Item 2 of Form 33-109F4)**

The individual's residential address information for at least the past 10 years, including current residential telephone number.

**(c) Personal Information (Item 3 of Form 33-109F4)**

The individual's date and place of birth and personal description information.

**(d) Citizenship (Item 4 of Form 33-109F4)**

Citizenship information and, if the individual is not a Canadian citizen, passport information.

**(e) Registration Jurisdictions (Item 5 of Form 33-109F4)**

The provinces and territories in which the individual is or was previously registered with your firm.

**(f) Individual Categories (Item 6 of Form 33-109F4)**

The categories in which the individual is registered in a particular province or territory and IIROC approval categories if applicable, the effective date of registration and the registration status of the individual. This includes categories of registration and categories for permitted individuals, as well as the current and historical status of the individual in that jurisdiction. An individual may currently or previously been registered with another sponsoring firm, however, you can only view registration information as it applies to your firm. The existing statuses for individual are listed below.

- Active
- Suspended (Regulatory Action - Individual)
  - This status applies to an individual when the regulator has suspended the individual.
- Suspended (Regulatory Action - Firm)
  - This status applies to an individual when the regulator has suspended the individual's sponsoring firm.
- Suspended (Pending Employment Termination)
  - This status applies to an individual when the reinstatement of the individual's registration to another firm has been approved by the Regulator and a Notice of Termination with the previous firm has not been submitted and/or approved by the regulator.
- Suspended (Employment Termination)
  - The status of Suspended (Employment Termination) is given when an individual has terminated employment with their sponsoring firm.
- Suspended (Surrender)

- This status applies to an individual who has surrendered their categories of registration in the jurisdiction but remain registered in at least one other jurisdiction.
- Suspended (Bulk Annual Fee Exclusion)
  - The status of Suspended (Annual Fee Exclusion) is given to an individual identified as not renewing their registration by the sponsoring firm including them in the Annual Fee Exclusion submission. This status is given on December 31st. The sponsoring firm must either file the Change or Surrender of Individual Categories or the Notice of Termination for an individual with this status if not already submitted.
- Suspended (Bulk Transfer)
- Terminated (Regulatory Action - Individual)
  - This status is given when the regulator has terminated the individual's registration.
- Terminated (Regulatory Action - Firm)
  - This status applies to an individual when the regulator has terminated a firm for either regulatory violations or the firm has requested their registration to be terminated.

**(g) Terms and Conditions (Item 6 of Form 33-109F4)**

Details of the terms and conditions imposed by regulators by jurisdiction on the registration of the individual. Terms and Conditions are applied by the regulator.

**(h) Address and Agent for Service (Item 7 of Form 33-109F4)**

The address and name of the individual's agent for service in a particular jurisdiction.

**(i) Proficiency (Item 8 of Form 33-109F4)**

Industry courses or examinations successfully completed or from which exemptions were granted, the date of completion or exemption, student numbers and details of exemptions or exemption refusals.

**(j) Location of Employment (Item 9 of Form 33-109F4)**

Business location where the individual will be doing most of her/his business.

**(k) Current Employment (Item 10 of Form 33-109F4)**

Details of current employment with sponsoring firm, including information regarding other business activities or employment for gain.

**(l) Previous Employment (Item 11 of Form 33-109F4)**

Details of previous employment, including name and address of employers and name and title of immediate supervisors.

**(m) Resignations and Terminations (Item 12 of Form 33-109F4)**

Information regarding previous resignations and terminations with other firms, and whether there was a termination or resignation for cause.

**(n) Regulatory Disclosure (Item 13 of Form 33-109F4)**

The individual's answers to the regulatory disclosure questions under the headings "Securities regulatory authority", "Self-regulatory organizations" and "Non-securities regulation" set out under item 13 of Form 33-109F4.

**(o) Criminal Disclosure (Item 14 of Form 33-109F4)**

The individual's answers to the criminal disclosure questions under the heading "Criminal, provincial and territorial offences" set out under item 14 of Form 33-109F4.

**(p) Civil Disclosure (Item 15 of Form 33-109F4)**

The individual's answers to the civil disclosure questions under the heading "Civil Disclosure" set out under item 15 of Form 33-109F4.

**(q) Financial Disclosure (Item 16 of Form 33-109F4)**

The individual's answers to the financial disclosure questions under the headings "Bankruptcy", "Debt Obligations", "Surety bond or fidelity bond" and "Garnishments, unsatisfied judgements or directions to pay" set out under item 16 of Form 33-109F4.

**(r) Owership of Securities and Derivatives Firms (Item 17 of Form 33-109F4)**

The individual's answers to the related securities firms disclosure questions under the heading "Related securities firms and holdings" set out under item 17 of Form 33-109F4.

To view an individual's Permanent Record, perform a search for the individual in question. Select that individual from your search results by clicking her/his last name. The system retrieves the individual's Permanent Record. The record is displayed in much the same way it was first input when your firm performed the Initial Registration for this individual. This is a read-only view. To make changes to the Individual's Permanent Record, you must prepare the appropriate Individual Submission.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	INDIVIDUAL INFORMATION	ADMIN TOOLS
Name		808321 - Éthier, Adelmar					
Residential Address		20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.					
Personal Information							
Citizenship							
Registration Jurisdictions							
Registration Categories							
Address for Service							
Terms and Conditions							
Proficiency							
Location of Employment							
Current Employment							
Previous Employment							
Resignations and Terminations							
Regulatory Disclosure							
Criminal Disclosure							
Civil Disclosure							
Financial Disclosure							
Related Securities Firms							

Item 1 - Name		VIEW HISTORY
<b>Legal Name</b>		
Last Name:	Éthier	
First Name:	Adelmar	
Second Name: (if applicable)	Grégoire	
Third Name: (if applicable)		
Provide reason for name change :		
correction d'orthographe		
Are you currently, or have you previously, been known by a name other than the name mentioned above?		
Yes		
Continue >>		

NRD allows you to view the Individual's current Form 33-109F4 information, as well as any previous changes made to the Permanent Record by your firm's AFRs or by the regulators (e.g.: Terms and Conditions). You do not have access to the individual's registration information with other sponsoring firms.

Click the **local navigator** to view any item.

To view the historical information for any item on the Permanent Record, click the yellow **View History** button that appears near the upper right of the screen for that item. In this example, we will view the historical information for **Item 1 – Name**.

## Item 1 - Name

## Previous Legal Names

Click on a legal name to view the information:

Name	Effective Date	End Date
<a href="#">Ethier, Adelmar</a>	2003/02/07	2002/02/07

Continue >>

This individual has one previous legal name recorded in his history. To view the details of this record, click the previous name hyperlink. The system displays the details of the record.

The current and past registration statuses of the individual with your firm may be viewed for every jurisdiction in which s/he is registered. This information is under the **Registration Jurisdictions** tab on the local navigator. Click this tab and select a province or territory to view the individual's status and individual categories in that jurisdiction. Each individual category has an effective date.

NOTE: Registration information for individuals with IIROC Member firms will display both registration categories and IIROC approval categories. For example, Salesperson and Registered Representative (Retail).

If the individual's status in this jurisdiction has changed, that information is listed at the bottom of the screen, and you may follow a hyperlink for further details on the past statuses.



## 100000 - Black, Joe

### Item 6 - Registration and Accepted Categories - Ontario

#### Current Status

Status: Active

Non-Canadian Adviser (Investment Counsel & Portfolio Manager)	Effective Date
Officer & Director (Advising, Non-Resident)	2005/06/20

**Officer Title:** Other

**Other Title:** Investment Director

#### History

Click on a status to view details:

Status	Effective Date	End Date	Date Action Applied
<a href="#">Active</a>	2004/11/01	2005/06/20	2004/11/01

[Continue >>](#)

For the “Disclosure” items (Regulatory, Criminal, Civil and Financial), any past disclosure is displayed as follows: Instead of a **View History** button, previous disclosure is displayed in full, beginning with the most recent effective date.

NOTE – Any submissions you may have made to update information on the Permanent Record will not be reflected until the regulator has accepted the submission.

## 2. Firm and individual submissions

NRD allows you to view details of a submission previously sent by you or any other AFR of your firm. You may also view submissions in the **Work in Progress** list of any AFR of your firm. In order to view the details of a submission, perform a search for the firm or individual submission. If you created the submission and sent it to regulators, you may view the submission in your **Sent to Regulators** list if this has not yet been processed.

When you have retrieved the submission, you may navigate through the entire document. However, you will not be able to edit the submission. You may only edit submissions that are currently in your WIP list. If you wish to edit a submission that is still in your WIP, retrieve it directly from your **Work in Progress** list and not from the **Search** function.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
<div> <div> INITIAL  Name  Residential Address  Personal Information  Citizenship  Registration Jurisdictions  Registration Categories  Address for Service  Proficiency  Location of Employment  Current Employment  Previous Employment  Resignations and Terminations  Regulatory Disclosure  Criminal Disclosure  Civil Disclosure  Financial Disclosure  Related Securities Firms  Submission History </div> <div> <div>808321 - Éthier, Adelmar</div> <div>20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.</div> </div> </div>						
<div> <div>Item 1 - Name</div> <div> <div>Legal Name</div> <div> Last Name: Ethier  First Name: Adelmar  Second Name: (if applicable)  Third Name: (if applicable)  Are you currently, or have you previously, been known by a name other than the name mentioned above?  Yes </div> </div> </div>						
<div>Continue &gt;&gt;</div>						
<div> <a href="#">FIRM SUBMISSION</a>   <a href="#">INDIVIDUAL SUBMISSION</a>   <a href="#">SEARCH</a>   <a href="#">WORK IN PROGRESS</a>  <a href="#">SENT TO REGULATORS</a>   <a href="#">FIRM INFORMATION</a>   <a href="#">ADMIN TOOLS</a> </div>						

At the bottom of the local navigator is a yellow tab labelled **Submission History**. This feature shows the record of the submission's creation, submission and disposition. It lists by whom, when and to what regulator(s) the submission is sent, and its current status in any pertinent jurisdiction. If the submission is still Work in Progress these details will be incomplete. Also, applicable submission fees are listed along with their status record:

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
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INITIAL	808321 - Éthier, Adelmar	20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.
Name		
Residential Address		
Personal Information		
Citizenship		
Registration Jurisdictions		
Registration Categories		
Address for Service		
Proficiency		
Location of Employment		
Current Employment		
Previous Employment		
Resignations and Terminations		
Regulatory Disclosure		
Criminal Disclosure		
Civil Disclosure		
Financial Disclosure		
Related Securities Firms		
Submission History		

### Submission History

#### Summary

Type:	Initial Registration	Submission No.:	20034576
Created By:	Stevenson, Lynne	Submitted By:	Stevenson, Lynne
Created On:	2003/02/06, 01:50PM	Submitted On:	2003/02/07, 01:00PM

#### Fee Information

Fee Status	Fee Type	Fee Amount	Reason for Resubmission of Payment
Created	Resubmit - Initial	56.23	<a href="#">View Details</a>
Created	Resubmit - Initial	32.00	<a href="#">View Details</a>
Created	Initial	5580.25	

#### New Brunswick Securities Administration Branch

Current Status: Approved

#### Ontario Securities Commission

Current Status: Approved

If the submission is still in your **Sent to Regulators** list, you may view the submission details there as well. This is an easy way to track the status of your submission while you are awaiting disposition by the regulator. Retrieve the submission from the **Sent to Regulators** list and use the local navigator, which includes a **Submission History** button on the local navigator, to view the submission details.

Any submission retrieved from **Sent to Regulators** is read-only and cannot be edited.

NOTE: A Chief AFR or AFR Administrator can reassign WIP submissions using the search function.

### 3. Fee breakdown

To allow better reconciliation of fees, a fee breakdown by jurisdiction involved in the submission and NRD user fees can be obtained by clicking "**View Fee Details**". Under each jurisdiction there will be a further breakdown to identify what amounts are charged by the commission and which ones are charged by the IIROC if applicable.

These fees are based on the total shown in the submission, for example a submission that includes AB, BC & ON shows fees for each of those jurisdictions and the NRD user fee.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS										
<div> <div> INITIAL Name Residential Address Personal Information Citizenship Registration Jurisdictions Registration Categories Address for Service Proficiency Location of Employment Current Employment Previous Employment Resignations and Terminations Regulatory Disclosure Criminal Disclosure Civil Disclosure Financial Disclosure Related Securities Firms Submission History </div> <div> 2064791 - Smith, John 8500 - TEST Pvt. LIMITED </div> </div>																
<div>Submission History</div> <div>Summary</div> <div> Type: Initial Registration Submission No.: 200785919 Created By: Richardson, John Submitted By: Richardson, John Created On: 2007/05/22, 02:21PM Submitted On: 2007/05/24, 08:45AM </div> <div>Fee Information</div> <table border="1"> <thead> <tr> <th>Fee Status</th> <th>Fee Type</th> <th>Fee Amount</th> <th>Reason for Resubmission of Payment</th> <th>Related Submission No.</th> </tr> </thead> <tbody> <tr> <td>Created</td> <td>Initial</td> <td>79.50</td> <td></td> <td></td> </tr> </tbody> </table> <div>View Fee Details</div> <div>Ontario Securities Commission</div> <div>Current Status: Submitted</div>							Fee Status	Fee Type	Fee Amount	Reason for Resubmission of Payment	Related Submission No.	Created	Initial	79.50		
Fee Status	Fee Type	Fee Amount	Reason for Resubmission of Payment	Related Submission No.												
Created	Initial	79.50														

#### Submission Fee Details

Summary				
Type:	Initial Registration	Submission No.:	200785919	
Created By:	Richardson, John	Submitted By:	Richardson, John	
Created On:	2007/05/22, 02:21PM	Submitted On:	2007/05/24, 08:45AM	
Ontario Securities Commission				
Fee Status	Fee Type	Fee Amount	Reason for Resubmission of Payment	Related Submission No.
Created	Initial	\$0.00		
NRD User Fee				
Fee Status	Fee Type	Fee Amount	Reason for Resubmission of Payment	Related Submission No.
Created	Initial	\$79.50		

#### 4. Location information

There are two ways to view details on firm locations. One way is to perform a search on the location, and the other is to view the information under **Firm Information** on the main navigator: location information is available under **Head Office** as well as **Other Locations**. These sections include current and historical information about your firm's Head Office, branches and sub-branches.

For **Other Locations**, the screen displays the jurisdictions and then cities in the selected jurisdiction where there are active branches or sub-branches. Click a city to view its active locations.

**NRD** PRIVACY STATEMENT FIRM LIST HELP FRANÇAIS LOGOUT

FIRM SUBMISSION INDIVIDUAL SUBMISSION SEARCH WORK IN PROGRESS SENT TO REGULATORS FIRM INFORMATION ADMIN TOOLS

Name  
Other Business Names  
Head Office  
Registration Categories  
Address for Service  
Terms and Conditions  
**Other Locations**  
Annual Fee Summary

**25980 - Test Firm 1234 Inc.**

**Province/Territory**

**Provinces or Territories**

Click on a province or territory to view other locations:

**Provinces or Territories**

[Ontario](#)

FIRM SUBMISSION | INDIVIDUAL SUBMISSION | SEARCH | WORK IN PROGRESS  
SENT TO REGULATORS | FIRM INFORMATION | ADMIN TOOLS

**NRD** PRIVACY STATEMENT FIRM LIST HELP FRANÇAIS LOGOUT

FIRM SUBMISSION INDIVIDUAL SUBMISSION SEARCH WORK IN PROGRESS SENT TO REGULATORS FIRM INFORMATION ADMIN TOOLS

Name  
Other Business Names  
Head Office  
Registration Categories  
Address for Service  
Terms and Conditions  
**Other Locations**  
Annual Fee Summary

**25980 - Test Firm 1234 Inc.**

**Location Information - Ontario** **CLOSED LOCATIONS**

**Cities - Active Locations**

Click on a city to view active locations:

**Cities**

[Burlington](#)

[Ottawa](#)

[Toronto](#)

FIRM SUBMISSION | INDIVIDUAL SUBMISSION | SEARCH | WORK IN PROGRESS  
SENT TO REGULATORS | FIRM INFORMATION | ADMIN TOOLS

Click the yellow **Closed Locations** button to view a list of cities where there are closed branches or sub-branches. Click a city to view its closed locations. When you retrieve the record of any location you can also view any historical information regarding supervisors or branch managers or address/contact information changes.

You can also search for locations by selecting **Search** from the main navigator and **Location**. The only way to retrieve **Head Office** information from the search function is to enter the NRD number or select 'Head Office' as the search criteria under the location type. You cannot retrieve **Head Office** details using any other criteria.

## 5. Firm information – Permanent Record

To view current and historical information on your firm click the **Firm Information** tab on the main navigator. Use the local navigator to view details of your firm’s Permanent Record.

### (a) Legal Name

This section includes your firm’s current legal name. Previous legal names can be viewed by clicking the yellow **View History** button near the upper right of the screen.

(b) **Other Business Names**

This section displays any business names other than your firm's Legal Name used by the firm. Click **View History** to view previously used Other Business Names.

(c) **Head Office**

This section displays any Compliance Officer Information along with the address and contact information for your firm's Head Office. Click **View History** near the upper right of the screen to view previous Head Office information. Head Office history is divided into two categories – Compliance Officer History and Business Address history.

NOTE: Head Office details for IIROC firms will identify the Chief Compliance Officer as required under IIROC By-laws.

The screenshot displays the NRD Filer Manual interface. At the top, there is a navigation bar with the NRD logo and links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a secondary navigation bar with buttons for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION (which is highlighted), and ADMIN TOOLS. On the left side, there is a vertical menu with links for Name, Other Business Names, Head Office (which is highlighted), Registration Categories, Address for Service, Terms and Conditions, Other Locations, and Annual Fee Summary. The main content area shows the firm's name "25980 - Test Firm 1234 Inc." and a "VIEW HISTORY" button. Below this, the "Head Office Information" section is displayed, which includes a "Compliance Officer Information" section with fields for NRD No., Last Name, and First Name. The "Business Address" section includes fields for Address Line 1, Address Line 2 (if applicable), City, Province/Territory/State, Postal Code, Country, Telephone No., and Fax No. The "Mailing Address" section has a "Same as Above" checkbox. The "Other Information" section includes a "Location Website Address" field. At the bottom right, there is a "Continue >>" button.

Head Office Information	
<b>Compliance Officer Information</b>	
NRD No.:	
Last Name:	
First Name:	
<b>Business Address</b>	
Address Line 1:	1234 Bay Street
Address Line 2:(if applicable)	
City:	Toronto
Province/Territory/State:	Ontario
Postal Code:	P9L8M7
Country:	Canada
Telephone No.:	416-555-1234 ext.
Fax No.:	416-555-5678
<b>Mailing Address</b>	
Same as Above:	<input checked="" type="checkbox"/>
<b>Other Information</b>	
Location Website Address:	

Continue >>

(d) **Registration Categories**

This section displays your firm's registration categories by jurisdiction, as well as the current and previous status of your firm, in each of its jurisdictions. If your firm is registered in Ontario, information pertaining to Participation Fees will also be

displayed in this section. Participation fees are annual renewal fees paid to the Ontario Securities Commission based on your firm's revenue. Contact the Ontario Securities Commission for details. Click a province/territory to view your firm's registration information in that jurisdiction. This information includes current and historical status in the selected jurisdiction, as well as regulatory actions:

- Active
- Suspended (Pending Surrender)
  - This status applies to a firm that has consent to suspension in the selected jurisdiction.
- Suspended (Not Renewed)
  - This status applies to a firm that has not applied for renewal in the selected jurisdiction and is applied on December 31.
- Suspended (Regulatory Action)
  - This status applies to a firm that has been suspended by the regulator in the selected jurisdiction.
- Terminated (Regulatory Action)
  - This status applies to a firm that has been terminated by the regulator in the selected jurisdiction.

NOTE: Registration information for IIROC firms will display both registration categories and IIROC approval categories. For example, Investment Dealer and Equities.

1111 - Mansoor Investment Counsel Limited

Registration Categories - Ontario

Current Status

Status: Active

Fee Information

Participation fee = CDN \$ 5600.00  
Fiscal Year End is 2003/09/30

Registration Categories	Effective Date
Investment Counsel & Portfolio Manager	2003/03/14

History

Click on a status to view details:

Status	Effective Date	End Date	Date Action Applied
<a href="#">Active</a>	2003/12/05	2006/12/13	2006/12/13
<a href="#">Active</a>	2003/03/14	2003/12/05	2003/12/05

Continue >>



If regulators have applied **Terms and Conditions** to your firm in this jurisdiction, a message in red will advise you of this near the top of the screen.

(e) **Address and Agent for Service**

**This section shows the address and agent (if applicable) for service a the firm for each jurisdiction. To see this information you must select the jurisdiction hyperlink.**

The screenshot displays the NRD Filer Manual interface. At the top, there is a navigation bar with links: PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a secondary navigation bar with buttons: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. On the left side, there is a vertical menu with links: Name, Other Business Names, Head Office, Registration Categories, Address for Service (highlighted), Terms and Conditions, Other Locations, and Annual Fee Summary. The main content area shows the firm's name '25980 - Test Firm 1234 Inc.' and the selected jurisdiction 'Address for Service - Ontario'. A 'VIEW HISTORY' button is located in the top right corner of the main content area. Below this, there is a section titled 'Address for Service' with the following details: NRD No. 450732, Address Line 1: 1234 Bay Street, Address Line 2: (if applicable), City: Toronto, Province/Territory: Ontario, Postal Code: M1W9L8, Country: Canada, Telephone No.: 416-321-9876 ext.: (if applicable), Fax: (if applicable) 416-321-9875, and E-Mail Address: (if applicable). Below this, there is a section titled 'Agent for Service' with the following details: Name of Agent for Service: (if applicable) Law Firm LLP, Contact Person: Last Name: Winston, First Name: Charles. A 'Continue >>' button is located at the bottom right of the 'Agent for Service' section.

Address for Service	
NRD No.	450732
Address Line 1:	1234 Bay Street
Address Line 2: (if applicable)	
City:	Toronto
Province/Territory:	Ontario
Postal Code:	M1W9L8
Country:	Canada
Telephone No.:	416-321-9876 ext.: (if applicable)
Fax: (if applicable)	416-321-9875
E-Mail Address: (if applicable)	

Agent for Service	
Name of Agent for Service: (if applicable)	Law Firm LLP
Contact Person:	
Last Name:	Winston
First Name:	Charles

[Continue >>](#)

(f) **Terms and Conditions**

The first page of this section displays a list of Terms and Conditions applied to your firm in the selected jurisdiction. Click the name of the Term/Condition to view details. These details include the regulator who applied the Terms and Conditions, the specifics of the Terms and Conditions, and the date by which they must be met (if applicable).

Click the **View History** button near the upper right of the screen to view Terms and Conditions that have been removed from your firm in the selected jurisdiction.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS																
<div> <div> Name  Other Business Names  Head Office  Registration Categories  <b>Terms and Conditions</b>  Other Locations  Annual Fee Summary </div> <div> 8290 - Société de Lynne </div> </div>																						
Terms and Conditions - Ontario						VIEW HISTORY																
<div> <div>Terms and Conditions Details</div> <table> <thead> <tr> <th>Terms and Conditions</th> <th>Effective Date</th> </tr> </thead> <tbody> <tr> <td><a href="#">Foreign Adviser</a></td> <td>2002/09/09</td> </tr> <tr> <td><a href="#">Foreign Adviser</a></td> <td>2002/09/09</td> </tr> <tr> <td><a href="#">Dual Registration</a></td> <td>2002/09/09</td> </tr> <tr> <td><a href="#">Alternative Trading</a></td> <td>2002/09/09</td> </tr> <tr> <td><a href="#">Alternative Trading</a></td> <td>2002/09/09</td> </tr> <tr> <td><a href="#">Financial Reporting</a></td> <td>2002/09/09</td> </tr> <tr> <td><a href="#">SRA Policies</a></td> <td>2002/09/09</td> </tr> </tbody> </table> </div>							Terms and Conditions	Effective Date	<a href="#">Foreign Adviser</a>	2002/09/09	<a href="#">Foreign Adviser</a>	2002/09/09	<a href="#">Dual Registration</a>	2002/09/09	<a href="#">Alternative Trading</a>	2002/09/09	<a href="#">Alternative Trading</a>	2002/09/09	<a href="#">Financial Reporting</a>	2002/09/09	<a href="#">SRA Policies</a>	2002/09/09
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<a href="#">Financial Reporting</a>	2002/09/09																					
<a href="#">SRA Policies</a>	2002/09/09																					

(g) **Other Locations**

See Section 3 of this chapter – Location Information.

(h) **Annual Fee Summary**

Under applicable securities and/or commodity futures legislation, firms must pay annual registration fees to regulators in the participating jurisdictions in which they are registered and to the IIROC if applicable to maintain registration for the coming year.

In Ontario, firms pay an annual Participation fee. Participation fees are annual renewal fees paid to the Ontario Securities Commission based on your firm's revenue. Contact the OSC for details.

The preliminary annual fee summary is generated on December 1 of each year. On December 31, NRD generates the final annual fee summary. This serves as notice to the firm that "x" amount was debited from the firm's **NRD account** for renewal of registration; payment of fees in support of permanent registration or payment of participation fees. These summaries can be viewed under **Annual Fee Summary**.

This summary lists fees by jurisdiction, locations firm category and individual category. The summary ends with the NRD user fee and GST calculation, and the grand total for the firm's annual fees.

## Final Annual Fee Summary

[VIEW HISTORY](#)

**Fee Information: 20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.**

Submission No.: 200319981

Payment due December 31, 2002

Click the **View History** button near the upper right of the screen to view preliminary and final fee summaries from previous years.

### Annual Fee Summary Information

Click on Date Generated to view its information.

Date Generated	Year	Type
<a href="#">2003/02/18</a>	2002	Preliminary Annual Fee Notice
<a href="#">2003/02/17</a>	2001	Final Annual Fee Notice
<a href="#">2003/02/13</a>	2001	Preliminary Annual Fee Notice
<a href="#">2003/02/07</a>	1999	Final Annual Fee Notice
<a href="#">2003/02/06</a>	1999	Preliminary Annual Fee Notice

[Continue >>](#)

## GLOSSARY

**annual registration fees** – fees payable to regulators in provinces and territories other than Ontario in which a firm and its associated individuals are registered, in order for the firm to maintain its registrations;

**assigned** – the NRD term used to describe submissions that an AFR has access to on the system. A submission will be assigned to an AFR if that AFR commences the preparation of that submission on NRD or if the chief AFR or an AFR administrator for that firm assigns that submission to the AFR.

**associated** – the term used to describe an individual that is registered or applying for registration with your firm or that was otherwise required to submit registration information to regulators as a condition of your firm's registration;

**authorized firm representative or AFR** – a person acting as an authorized firm representative for a firm who is not a chief authorized firm representative or authorized firm representative administrator for the firm. This person has access to the system for the purposes of performing the basic functions of an authorized firm representative for a firm, namely making submissions on behalf of the firm and individuals associated with the firm and searching for and viewing information on NRD, and authorizing payments from the firm's NRD account;

**authorized firm representative administrator or AFR administrator** – an authorized firm representative that, like a chief AFR, has an enhanced level of access to the system. An AFR administrator is functionally equivalent to a chief AFR;

**branch** – a location of your firm, other than your firm's Head Office in a province or territory, that is supervised by a location supervisor or branch manager that is normally present at the location;

**branch manager or location supervisor** – If a registered dealer or adviser operates a branch office the registered dealer or adviser shall designate an individual as the branch manager of the branch. If there is more than one location supervisor or branch manager, Form 33-109F4 is required for each additional individual.;

**business location** – the NRD term for a place of business occupied by your firm at a particular address in a province or territory of Canada. A business location must be either a branch or a sub-branch. Throughout this manual a business location will often be referred to simply as a **location**;

**chief authorized firm representative or chief AFR** – an authorized firm representative that has accepted a firm's appointment to act as that firm's highest-ranking authorized firm representative. This person has an enhanced level of access to the system and, in addition to being able to perform all the functions of an AFR, is able to perform additional functions that may not be performed by an AFR;

**compliance officer** – the person responsible for overseeing the firm’s activities on a national basis. Compliance officer information can be found on NRD under Firm Information – Head Office;

**electronic funds transfer** or **EFT** – the service that automatically transmits the electronic pre-authorized debits and credits electronically from NRD account to the applicable payees (regulators, IIROC, or NRD administrator);

**electronic pre-authorized debit** – a debit of funds from your firm’s NRD account to the credit of one or more authorized payees, including the regulators in each province and territory of Canada other than Québec, the Investment Industry Regulatory Organization of Canada, and the NRD administrator;

**firms** – dealers, advisers and underwriters registered or applying for registration under securities or commodity futures legislation in Canada;

**global navigator** – the NRD navigator consisting of several hyperlinks in the upper right hand corner of each screen in NRD, namely **Privacy Statement, Help, English or Français** and **Logout**. If you are an AFR for more than one firm and using a single user ID, **Firm List** will also appear as a choice in the global navigator;

**individuals** – registered individuals, individuals seeking registration and permitted individuals;

**jurisdiction** – unless otherwise stated, for the purposes of NRD, a participating Canadian province or territory. The jurisdictions participating in NRD include all Canada’s provinces and territories except Québec;

**local navigator** – the NRD navigator consisting of a list of items appearing on the left side of your screen when you click a certain item in the main navigator. These lists contain different items that vary depending on what item you have selected from the main navigator. The local navigator allows you to choose a specific task that you wish to perform in NRD or navigate within a submission on which you are working;

**location** – see business location;

**main navigator** – a navigation bar that runs across the top of each NRD screen. The links on this navigator are reproduced as text hyperlinks at the bottom of each NRD screen. Click these links to execute the various functions available to you on NRD;

**multi-jurisdiction submission types** – submission types that may or will be made in more than one province or territory using NRD (e.g. Initial Registration);

**National instruments** – National Instrument 31-102 *National Registration Database*; and National Instrument 33-109 *Registration Information*;

**National Registration Database, NRD or the system** – the electronic database containing registration information for dealers, advisers, underwriters and individuals registered under securities or commodity futures legislation in Canada or who are otherwise required by such legislation to submit registration information to regulators. NRD is also the system used by firms and individuals to electronically submit certain applications, notices and other registration information to regulators;

**NRD account** – the account designated by your firm from which submission fees, annual registration fees and NRD user fees will be paid with respect to NRD by electronic pre-authorized debit;

**NRD administrator** – The NRD administrator is CDS INC., or a successor appointed by the regulators, the legal entity responsible for the operation of NRD;

**NRD number** – a unique number assigned by the system in order to identify a firm, individual, business location or submission in NRD;

**NRD submission** – the NRD term for registration-related information that is prepared and submitted to regulators under Canadian securities legislation, commodity futures legislation or IIROC requirements using NRD. NRD submissions are the NRD equivalent of the forms and other documents that registrants filed or delivered in paper format prior to the coming into force of the registration instruments. Throughout this manual NRD submissions are often referred to simply as **submissions**;

**NRD user fees** – fees payable by your firm to the NRD administrator annually in connection with the use of NRD and also fees payable with some submissions;

**permitted individuals** - individuals who are not registered to trade or advise on behalf of a firm and who are directors, partners, officers of a firm are referred to as **permitted individuals**. In British Columbia, Alberta and Ontario, holders of 10% or more of the voting securities of a firm are also referred to as permitted individuals;

**participating regulators** – general term that includes both the Canadian Securities Administrators and the Investment Industry Regulatory Organization of Canada;

**participation fee** – annual renewal fees paid to the Ontario Securities Commission pursuant to Rule 13-502 of the Ontario Securities Act. These fees are based on a firm's revenue;

**password** – a combination of 6 to 20 alphanumeric characters, initially generated by NRD for each AFR using the system in order to control access to NRD. A password permits an AFR to access the system, and is personalized by the AFR after his/her first login. A password must have 6-20 alphanumeric characters, must begin and end with a letter, must contain at least one number, and may have no special characters (spaces, punctuation marks, etc.)

EXAMPLES of valid passwords: pass1word, crazy24day

EXAMPLES of invalid passwords: password1, crazyday

Passwords automatically expire after 13 months. When you log in the first time after expiry, you will be required to change your password, just as you did when you logged into NRD for the first time, or after a password reset. Although passwords automatically expire, it is a good security practice to change your own password more often;

**permanent record** – the current and historical record of information in NRD for a firm or individual;

**PIN, or Personal Identification Number** – a series of 4 to 6 digits used by the chief AFR to log in to NRD for the first time. The PIN must not begin with a zero (“0”). Unlike the user ID and password, the PIN is not system-generated. Therefore, the chief AFR may select her/his own PIN on the Enrolment of Firm Filer form which s/he forwards to the NRD administrator who sets up the chief AFR’s login information;

**provinces and territories** – unless otherwise stated, for the purposes of NRD, each of the provinces and territories of Canada. These are also referred to as jurisdictions;

**re-assign** – action taken on a submission by a chief AFR or AFR administrator to take the submission from one AFR’s WIP to another’s. The “Re-assign” command is available to the AFR on the local navigator of the submission in question. A submission can also be re-assigned by an AFR to an individual whom the AFR has authorized to access the system to complete a submission;

**registered individuals** - individuals who are registered to trade or advise on behalf of a registered firm;

**regulators** – provincial and territorial securities regulatory authorities and the Investment Industry Regulatory Organization of Canada (IIROC);

**registration instruments** – collectively, the National instruments and Ontario and Manitoba Rule 33-506 - (*Commodity Futures Legislation*) *Registration Information*;

**set-up** – the NRD administrator’s input on NRD of initial information about your firm; the enrolment of a firm on NRD; this also refers to the establishing of AFR users on the system: the act of providing a user ID and password to a person in order to give that person access to NRD as a chief AFR, AFR administrator or an AFR for a firm;

**single jurisdiction submission types** – submission types that can only be filed in one province or territory (e.g. submission to open a location);

**sub-branch** – a location of your firm, other than your firm’s Head Office or branch in a province or territory, that is supervised by a supervisor that is working out of another location;

**submission** – see NRD submission;

**submission fees** – fees prescribed by applicable securities or commodity futures legislation and/or required under IIROC by-laws in each province and territory of Canada in connection with submissions;

**submission type** – on NRD, submission types are displayed as forms presented on a screen or a series of screens that the AFR completes in a standard form for a particular purpose. It includes initials, amendments, notices and firm submissions;

**submit** – the term for delivering or filing a submission to regulators electronically using NRD. To avoid awkward phrasing (e.g. “to submit submissions”), this manual also uses alternate phrasing depending on the context (e.g. to make a submission, to send a submission to regulators);

**user ID** – a unique combination of numbers and letters that is generated by NRD for each AFR using the system. A user ID identifies an AFR on the system;

**work in progress** – a submission that has been prepared to some extent in NRD that has not yet been sent to regulators.



## SUBMISSION ILLUSTRATIONS

### **Firm Submissions**

Preliminary Screens for Firm Submissions  
Open a Location  
Location Address Information Change  
Close a Location  
Location Supervisor Change  
Annual Fee Exclusion / Reversal  
Location Status Change

### **Individual Submissions**

Preliminary Screens for Individual Submissions  
How to set up an individual to complete an Initial submission

### **Individual Submissions – Initial**

Initial Registration  
Reinstatement of Registration  
Registration with an Additional Sponsoring Firm  
Registration in an Additional Jurisdiction  
Reactivation of Registration  
Submission for Individuals included in Data Transfer

### **Individual Submissions - Amendments**

Change or Surrender of Individual Categories  
Apply for an Exemption

### **Individual Submissions – Notices**

Notice of Termination  
Update/Correct Termination Information  
Individual Name Change  
Residential Address Change  
Personal Information Change  
Citizenship Information Change  
Address and Agent for Service Change  
Proficiency Information Change  
Exemption Refusal Information Change  
Employment Location Change  
Current/Previous Employment Change  
Resignations and Terminations Change  
Regulatory Disclosure Change  
Criminal Disclosure Change

Civil Disclosure Change  
Financial Disclosure Change  
Ownership of Securities and Derivatives Firms Change

## A. Firm Submissions

### Preliminary Screens:

Once you are logged in to the system, click **Firm Submission** on the main navigator or on the Task Menu:

The screenshot shows the 'Firm Submission' screen for a specific firm. The top navigation bar includes links for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The left sidebar has a 'Notice' tab. The main content area is titled '33070 - Dargan Cataliers' and contains two main sections: 'Select a Notice 33-109F3' and 'Annual Fee'. Under 'Select a Notice 33-109F3', there are five hyperlinks: 'Open a Location', 'Location Address Information Change', 'Close a Location', 'Location Supervisor Change', and 'Location Status Change'. Under 'Annual Fee', there is one hyperlink: 'Annual Fee Exclusion / Reversal'. At the bottom of the screen, there is a footer with links for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS.

Select the desired notice type by clicking on the hyperlink for that type. For every firm notice type, the system presents a list of jurisdictions in which your firm is registered (Active or Suspended). This screen also indicates the firm notice type you are initiating. Select the appropriate jurisdiction:

The screenshot shows the 'Firm Submission' screen for a specific firm. The top navigation bar includes links for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The left sidebar has a 'Notice' tab. The main content area is titled '7610 - CSAIDA Firm35' and contains a section titled 'Open a New Location'. Below this section, there is a blue bar with the text 'Provinces or Territories'. Below this bar, there is a text box with the text 'Click on a province or territory to open one or more new locations:'. Below this text box, there is a table with the following data:

Provinces or Territories
Ontario

For every firm submission type except Open a Location and Annual Fee Exclusion, the system then presents a **Search for Location** screen. Enter the desired criteria to retrieve the location for which you are preparing a submission. When you are ready, click **Search**. The system executes the search according to

your criteria and presents the results at the bottom of the screen. Select the desired location by clicking its NRD number.

FIRM SUBMISSION
INDIVIDUAL SUBMISSION
**SEARCH**
WORK IN PROGRESS
SENT TO REGULATORS
FIRM INFORMATION
ADMIN TOOLS

Notice

7610 - CSAIDA Firm35

Search for Location - Results

Search Criteria

Enter information in at least one of the text boxes below to begin your search:

NRD No.:

OR

Address Contains:

City:

Province/Territory:

Type of Location:

NRD No. of Branch Manager:

Search Results

Showing Results:1-3 of 3

NRD No.	Address Line 1	City	Province	Type of Location
<a href="#">8592</a>	1222 Brock Street	Toronto	Ontario	Branch
<a href="#">9012</a>	555 Brock Road	Toronto	Ontario	Branch
<a href="#">9032</a>	1222 Brock Street	Toronto	Ontario	Branch

Select a firm submission to view more specific details:

[Open a Location](#)  
[Location Address Information Change](#)  
[Close a Location](#)  
[Location Supervisor Change](#)  
[Annual Fee Exclusion/Reversal](#)  
[Location Status Change](#)

#### 4. Open a Location

1. Login. The system presents the task menu. Select Firm Submission from the main navigator or the Task Menu. From the list of Firm submission types, select **Open a Location**.
2. The system presents a list of the jurisdictions in which your firm is registered or applying to be registered. Select the province or territory in which you wish to open a location.
3. The system presents the form required for opening a location. Information required includes the NRD number of the individual who will act as branch manager or supervisor, location type (branch or sub-branch), as well as address and contact information for the new location. When the form is completed, click **Save & Continue** at the bottom of the page.

Click **Add Another** if you wish to open additional locations in the selected jurisdiction, as part of the same submission.

Clicking **Reset** will clear all fields to the values of the last successful save.

If you exit the system or are interrupted during the preparation of the submission, you may retrieve the submission from your **Work in Progress** tab on the main navigator. The submission is preserved up to the last successful save.

TIP – You can open multiple locations in a single submission provided these locations are all in the same jurisdiction. Ensure that all information is correct, or else the entire notice - each location included in the notice, might be subject to withdrawal by the regulator.

TIP – When typing in the city name, be sure to use the standard spelling. The system treats locations with different spellings of cities as being located in different cities. For example, if your firm's AFRs are using inconsistent spellings for a city ("Sault Ste. Marie". "Sault St. Marie", "Sault Ste-Marie"; or "Toronto", "TO", "GTA") the system recognizes these as three different cities.

TIP – Obtain the individual NRD number of the branch manager(s) or supervisor(s) before starting this submission. These individuals must be associated with your firm.

## Open a New Location

### Location Information

Type of Location:

### Branch Manager Information

NRD No.:

### Business Address

(do not use a P.O. box)

Address Line 1:   
Address Line 2:(if applicable)   
City:   
Province/Territory:   
Postal Code:   
Country:   
Telephone No.:  ext. (if applicable)   
Fax No.:

### Mailing Address

Same as Above: ☒  
Address Line 1:   
Address Line 2: (if applicable)   
City:   
Province/Territory:   
Postal Code:   
Country:

Add Another

Save & Continue >>

Reset

4. To view a summary of the location(s) you are applying to open, click **Save & Continue**. The system will display the location(s) for which you have completed the form. From the summary page you may add more locations by clicking **Add Another** or proceed to completing and sending the submission to regulators.

FIRM SUBMISSION

INDIVIDUAL SUBMISSION

SEARCH

WORK IN PROGRESS

SENT TO REGULATORS

FIRM INFORMATION

ADMIN TOOLS

Open location

First Page

Re-Assign Submission

Complete Submission

21550 - Société Guèvremont Inc.

Open a Location

Location Information

Click on a link to edit location information:

Location NRD No.	Address	Branch Manager NRD No.	Last Name	First Name
<a href="#">268872</a>	32 Bowman Ave.	130711	Allen	Barbie
<a href="#">268882</a>	65A Garden Lane	1327491	Diane	Lévesque
<a href="#">268892</a>	4, rue Rivière	1327551	Guèvremont	Josée

Add Another

Continue >>

- When you are ready, click **Complete Submission** on the local navigator. The system will verify that all required information is entered and will guide you through the Complete Submission process. If you prefer not to make the submission at this point, you may click the **Return to Task Menu** button to perform other tasks. The submission will be saved in your **Work in Progress**.

## 5. Location Address Information Change

NOTE – There is no notice on NRD to change Head Office or Address for Service information. Contact your regulator for instructions on making changes outside the system.

1. From the Main Navigation bar, click Firm Submission button, and select **Location Address Information Change** from the list of Firm Notices.
2. The system displays a list of jurisdictions in which the firm is currently registered. Click the province or territory where the firm wishes to change the address information for a firm location.
3. The system presents a search form for the jurisdiction selected. You may search by the location's NRD Number, by location type (Branch or Sub-Branch); the Branch manager's NRD Number or by elements of the location address ("Address Contains" and "City"). Click Search to view the results. Select the desired location by clicking on the hyperlink of that location's NRD number.

<b>8500 - TEST Pvt. LIMITED</b>	
<b>Change Location Address Information</b>	
<b>Location Information</b>	
Type of Location:	Branch
Location NRD No.:	458002
<b>Branch Manager Information</b>	
NRD No.:	111111
Last Name:	JOSEPH
First Name:	THOMAS
<b>Business Address</b>	
Address Line 1:	Front Street
Address Line 2:(if applicable)	
City:	Toronto
Province/Territory/State:	Ontario
Postal Code:	M3W3P8
Country:	Canada
Telephone No.:	1 ext.
Fax No.:	
<b>Mailing Address</b>	
Same as Above:	<input checked="" type="checkbox"/>
<input type="button" value="Change Location Address Information"/> <input type="button" value="Cancel"/>	

4. The system displays the current information for the location. Confirm that this is the correct location and click the Change Location Address Information button at the bottom of the page. If this is not the correct location, you may click Cancel to return to the location search page.



5. The system displays the form to change the location's address information. All fields are editable except for the Province/Territory/State and Country fields. Make the required changes to the address and contact information and provide an effective date. The effective date must be a past or current date. Click Save & Continue to proceed with the submission.
6. The system verifies that you have entered all required information and guides you through the **Complete Submission** process.

NOTE – If you are accessing the notice from **Work In Progress**, existing data is displayed. If you had previously entered a mailing address for the location and then select the “Same as Above” field, the mailing address information will be deleted from the submission. If you delete a previously saved fax number, telephone number or extension, the information is deleted from the submission as it was last saved and not from the Permanent Record itself.

## 6. Close a Location

1. From the Main Navigation bar, click the “Firm Submission” tab and then select the **Close a Location** hyperlink.
2. The system displays a list of jurisdictions in which the firm is currently registered. Select the province or territory where the firm wishes to close a location.
3. The system presents a search form for the jurisdiction selected. You may search by the location’s NRD Number, by location type (Branch or Sub-Branch); the Branch manager’s NRD Number or by elements of the location address (“Address Contains” and “City”).
4. Select the desired location from the search results by clicking the hyperlink of that location’s NRD number. The system displays the current record for that location. Verify that this is the correct location and click the **Close Location** button at the bottom of the page. If this is not the correct location, you may click **Cancel** to return to the location search page.

Close a Location	
<b>Location Information</b>	
Type of Location:	Branch
<b>Branch Manager Information</b>	
NRD No.:	24631
Last Name:	brown
First Name:	joan
<b>Business Address</b>	
Address Line 1:	1222 Brock Street
Address Line 2:(if applicable)	Unit 800
City:	Toronto
Province/Territory/State:	Ontario
Postal Code:	M5H 1J7
Country:	Canada
Telephone No.:	4165558888 ext.
Fax No.:	4165557777
<b>Mailing Address</b>	
Same as Above:	<input checked="" type="checkbox"/>
<div>Close a Location</div> <div>Cancel</div>	

5. To close the location, enter an effective date for the closure and click **Save & Continue**. The effective date must be a past or current date.

Close a Location	
Location Information	
Type of Location:	Branch
Branch Manager Information	
NRD No.:	1325341
Last Name:	Guèvremont
First Name:	Josée
Business Address	
Address Line 1:	321, rue Charlebois
Address Line 2:(if applicable)	
City:	Toronto
Province/Territory/State:	Ontario
Postal Code:	m3m3m3
Country:	Canada
Telephone No.:	321321321321 ext.
Fax No.:	32132132131
Effective Date:	<div>2004 / 05 / 01 (YYYY/MM/DD)</div>
<div>Save &amp; Continue &gt;&gt;</div> <div>Reset</div>	

6. The system will display a list of all individuals, if any, that are still working at the location to be closed:

NRD No.	Registrant
24631	joan, brown
25191	JOHN, ERINDALE

7. The system will allow you to complete the submission even if individuals are still listed at this location. However, you should make a note of these individuals and deal with their status at your firm. Specifically, you should complete one of the following submissions for each individual, as appropriate:

- Employment Location Change; or
- Notice of Termination

If you decide to deal with the status of these individuals before completing the Close a Location submission, simply click Individual Submission or any other tab or link on your screen to exit this submission. This submission will be saved in your Work In Progress, where you can retrieve it at a later time.

8. If you decide to complete the submission before dealing with the individuals still listed with the location, click Continue at the bottom of the screen or click the Complete Submission button from the local navigator to complete your submission. The system verifies that you have entered all required information and guides you through the Complete Submission process.

TIP – NRD does not have a “Re-Open Location” submission, therefore closed locations cannot be re-opened under the same NRD number. To effectively re-open a location, you must complete an Open a Location submission, re-entering all data for the location in question. The location will be assigned a new NRD number.

TIP – To view information for closed locations click **Firm Information** on the main navigator, then **Other Locations** on the local navigator. Click the yellow **Closed Locations** button near the upper right of that screen.

TIP – Only one location can be closed in a submission.

#### **4. Location Supervisor Change**

NOTE – There is no notice on NRD to change Compliance Officer information for the firm's Head Office. Contact your regulator for instructions on making changes outside the system.

See [How to Change a Location Supervisor for my Firm.](#)

## 5. Annual Fee Exclusion / Reversal

1. From the Main Navigation bar, click the Firm Submission button, and then select **Annual Fee Exclusion / Reversal** from the list of firm notices.

The screenshot shows a web interface with a top navigation bar containing buttons: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. Below this is a 'Notice' sidebar. The main content area is titled '33070 - Dargan Cataliers'. Under the heading 'Select a Notice 33-109F3', there are several links: 'Open a Location', 'Location Address Information Change', 'Close a Location', 'Location Supervisor Change', and 'Location Status Change'. Below these links is a section titled 'Annual Fee', which contains the link 'Annual Fee Exclusion / Reversal'. This link is circled in red.

2. The system displays a list of jurisdictions in which the firm is currently registered. Click the province or territory where the firm wishes to exclude individuals from annual fees for the coming calendar year, or reverse the exclusion of individuals already identified in previous Annual Fee Exclusion / Reversal submissions.
3. The system displays a screen requiring the NRD number of the individual that the firm wishes to exclude or reverse exclusion from its annual fees. Enter a valid number and click **Continue**.

The screenshot shows a web interface with a top navigation bar containing buttons: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. Below this is a sidebar with links: 'Annual Fee Exclusion / Reversal', 'First Page', 'Re-Assign Submission', and 'Complete Submission'. The main content area is titled '25980 - Test Firm 1234 Inc.'. Under the heading 'Annual Fee Exclusion / Reversal', there is a section titled 'Individual Information'. Below this section is a text input field labeled 'Provide the NRD No.' with the value '2078911' entered. To the right of the input field are two buttons: 'Continue >>' and 'Reset'. At the bottom of the page, there is a footer with links: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS.

4. The system validates the NRD number entered, displays the legal name of the corresponding individual, and that person's individual categories with your firm. If this is not the correct individual, click **Cancel** at the bottom of the screen to execute a new search by individual NRD number. Select whether the individual is to be excluded from the upcoming Annual Fee or their previously identified exclusion reversed. To add other individuals to the annual fee exclusion / reversal for this jurisdiction, click **Add Another** to identify other individuals. If you are ready to proceed with the submission, click **Save & Continue**.

**NRD** PRIVACY STATEMENT FIRM LIST HELP FRANÇAIS LOGOUT

FIRM SUBMISSION INDIVIDUAL SUBMISSION SEARCH WORK IN PROGRESS SENT TO REGULATORS FIRM INFORMATION ADMIN TOOLS

Annual Fee Exclusion / Reversal  
First Page  
Re-Assign Submission  
Complete Submission

### 25980 - Test Firm 1234 Inc.

#### Annual Fee Exclusion / Reversal

##### Individual Information - Ontario

NRD No.	2078911
Last Name:	Smith
First Name:	David

##### Registration Categories

<b>Mutual Fund Dealer</b>
Director
Salesperson

##### Action:

☒ Exclude Individual  
☐ Reverse Excluded Individual

[Add Another](#)
[Save & Continue >>](#)
[Cancel](#)

[FIRM SUBMISSION](#) | [INDIVIDUAL SUBMISSION](#) | [SEARCH](#) | [WORK IN PROGRESS](#)  
[SENT TO REGULATORS](#) | [FIRM INFORMATION](#) | [ADMIN TOOLS](#)

- After you have confirmed at least one individual for the submission, the system will display a summary list that includes the NRD number, and the first and last name of each individual. From this summary, you may click **Add Another** to add more individuals, or click **Continue** to complete the submission. If you wish to remove any individuals from the list, click that person's last name. The screen will display their information as described in step 4, with a **Delete** checkbox in the upper right corner. Check off the box and click **Save & Continue**. That individual will be removed from the summary list.

When you are ready, click **Continue** on the summary list page or **Complete Submission** on the local navigator. The system verifies that you have entered all required information and guides you through the Complete Submission process.

The screenshot shows the NRD web application interface. At the top, there is a navigation bar with the NRD logo and links for PRIVACY STATEMENT, FIRM LIST, HELP, FRANÇAIS, and LOGOUT. Below this is a secondary navigation bar with buttons for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. On the left side, there is a sidebar with links for Annual Fee Exclusion / Reversal, First Page, Re-Assign Submission, and Complete Submission. The main content area displays the title '25980 - Test Firm 1234 Inc.' and the section 'Annual Fee Exclusion / Reversal - Ontario'. Below this is a table titled 'Individual Summary' with a header row containing 'NRD No.', 'Last Name', 'First Name', and 'Action'. The table contains one row with the values '2078911', 'Smith', 'David', and 'Excluded'. Below the table are two buttons: 'Add Another' and 'Continue >>'. At the bottom of the page, there is a footer with links for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS.

TIP – If an individual is registered in more than one jurisdiction, you must create a new submission for each of the jurisdictions in which you intend to exclude the individual from annual fees.

TIP – You may file this submission type at any time of year, and you may file more than one submission, if you have various individuals whom you wish to exclude from annual fees.

TIP – If an individual is identified in the annual fee exclusion, the individual will remain active with your firm until the end of business on December 31<sup>st</sup> of the current year. At the end of business on December 31<sup>st</sup>, the status of this individual changes to “Suspended (Annual Fee Exclusion)” for that jurisdiction. The “end of business” hour on December 31<sup>st</sup> is determined and published by the CSA each year.

TIP - The firm must file one of the following submissions for the individual no more than 5 business days after December 31:

- Change or Surrender of Individual Categories; or
- Notice of Termination.



## 6. Location Status Change

1. From the Main Navigation bar, click the Firm Submission tab and select **Location Status Change** from the list of Firm Notices.
2. The system displays a list of jurisdictions in which the firm is currently registered. Select a province or territory by clicking on the province or territory where the firm wishes to change a location type.
3. The system presents a search form for the jurisdiction selected. You may search by the location's NRD Number, by location type (Branch or Sub-Branch); the Branch manager's NRD Number or by elements of the location address ("Address Contains" and "City"). Click **Search** to view the results. Select the desired location by clicking on the hyperlink of that location's NRD number.
4. The system displays the current record for the selected location. Verify that this is the correct location and click the **Change in Location Type** button. If this is not the correct location, you may click **Cancel** to return to the location search page.
5. The system displays the form to change the location type. Change the location type in the drop-down menu at the top of the page, and enter an effective date for the change. The effective date must be a past or current date. Click Save & Continue to proceed.

The system verifies that you have entered all required information and guides you through the Complete Submission process.

TIP – Only one location can be updated per submission.

## Change Location Type

### Location Information

Type of Location: Sub-Branch ▼

Effective Date: 2002 / 09 / 01 (YYYY/MM/DD)

### Branch Manager Information

NRD No.: 24631

Last Name: brown

First Name: joan

### Business Address

Address Line 1: 1222 Lakeshore Road West

Address Line 2:(if applicable) Suite 1800

City: Toronto

Province/Territory/State: Ontario

Postal Code: M5H 1K8

Country: Canada

Telephone No.: 4165558888 ext.

Fax No.: 4165559999

### Mailing Address

Same as Above: ☒

Save & Continue >>

Reset

## B. Individual Submissions

TIP – The individual submission illustrations make references to Form 33-109F4 – Registration Information for an Individual, which is located at the end of this manual. For brevity, the manual will refer to the form as “**Form 33-109F4**”. Also the items within the form often will be referred to by number, and not number and title (e.g. “Item 15” instead of “Item 15 – Civil Disclosure”), if their context is obvious.

### NRD Numbers for Individuals:

Any individual should have only one NRD number on the system. Therefore be alert to the risk of creating duplicate records on the system. When creating an individual on the system, you may receive a message warning you that an individual already exists on the system with the same name and date of birth. If you have been instructed by your regulator to submit a new Initial Registration submission because the original is deficient and has been Withdrawn, then you may proceed.

Otherwise, before proceeding with the submission, you should investigate the possibility that you are about to create a duplicate individual (i.e., a second NRD number for a single individual who is already active on the system).

Steps to follow:

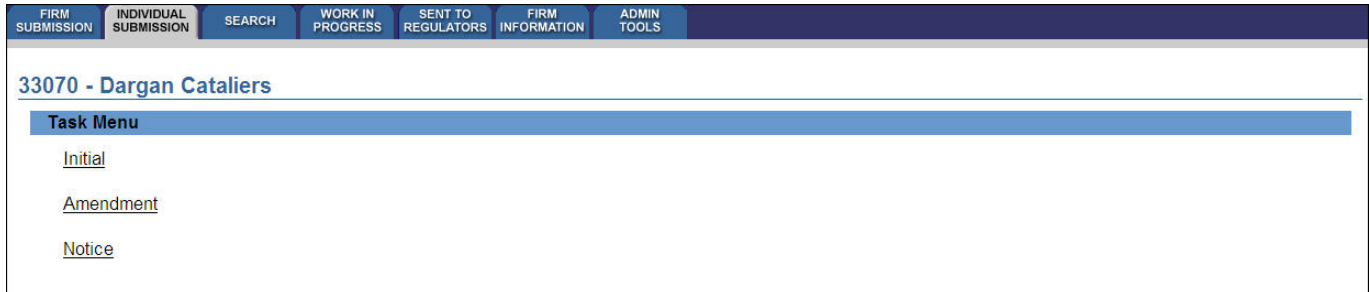
- Perform an Individual Search to see if the individual already exists with your firm on the National Registration Database
- Perform an Individual Submission Search. You or another AFR at your firm may have begun or even completed an Initial submission for this individual.
- If you still can't find the individual in question, contact the regulator for assistance since this individual might already be associated with another firm.

If you can determine that the individual you are trying to create an Initial submission for is indeed not a duplicate already recorded on the system, you may proceed with the submission.

However, when in doubt, please contact your regulator, who can help you confirm that you are not creating a duplicate record.

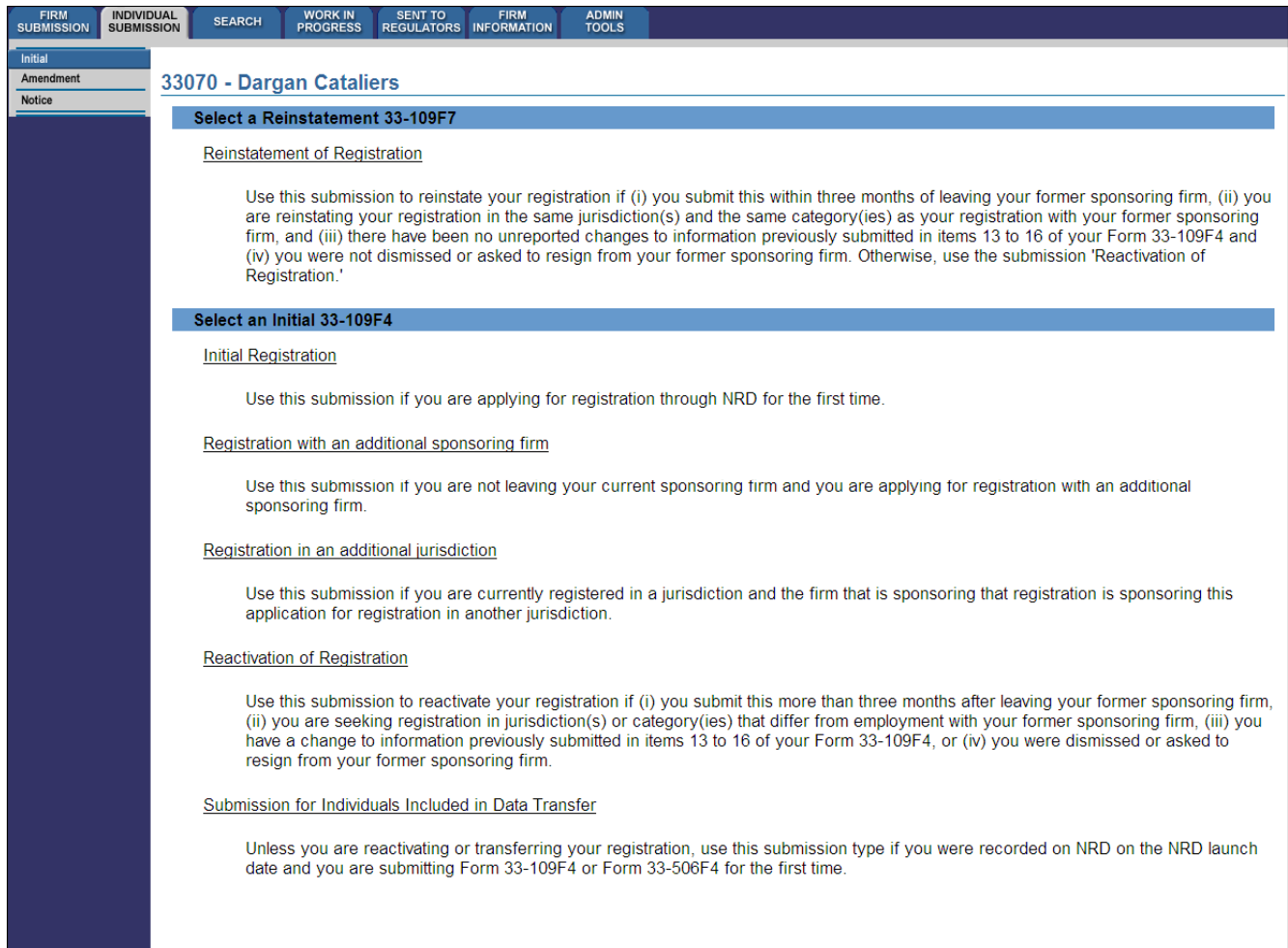
## **Preliminary Screens:**

Once you are logged in to the system, click **Individual Submission** on the main navigator or on the Task Menu:



The screenshot shows the top navigation bar with tabs: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. Below the navigation bar, the page title is "33070 - Dargan Cataliers". Underneath, there is a "Task Menu" section with three links: [Initial](#), [Amendment](#), and [Notice](#).

Click the desired submission category. The “Initial” screen displays the various Initial submission types available, including a description of each:



The screenshot shows the "Initial" submission screen. The left sidebar has a menu with "Initial", "Amendment", and "Notice". The main content area is titled "33070 - Dargan Cataliers" and contains a section "Select a Reinstatement 33-109F7" with a link "Reinstatement of Registration". Below this is a section "Select an Initial 33-109F4" with several links and descriptions:

- [Initial Registration](#)  
Use this submission if you are applying for registration through NRD for the first time.
- [Registration with an additional sponsoring firm](#)  
Use this submission if you are not leaving your current sponsoring firm and you are applying for registration with an additional sponsoring firm.
- [Registration in an additional jurisdiction](#)  
Use this submission if you are currently registered in a jurisdiction and the firm that is sponsoring that registration is sponsoring this application for registration in another jurisdiction.
- [Reactivation of Registration](#)  
Use this submission to reactivate your registration if (i) you submit this more than three months after leaving your former sponsoring firm, (ii) you are seeking registration in jurisdiction(s) or category(ies) that differ from employment with your former sponsoring firm, (iii) you have a change to information previously submitted in items 13 to 16 of your Form 33-109F4, or (iv) you were dismissed or asked to resign from your former sponsoring firm.
- [Submission for Individuals Included in Data Transfer](#)  
Unless you are reactivating or transferring your registration, use this submission type if you were recorded on NRD on the NRD launch date and you are submitting Form 33-109F4 or Form 33-506F4 for the first time.

The “Amendment” screen displays the following:

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
Initial	Amendment	33070 - Dargan Cataliers				
Amendment	Notice	<p><b>Select an Amendment</b></p> <p><a href="#">33-109F2 - Change or Surrender of Individual Categories</a></p> <p><a href="#">Apply for an Exemption</a></p>				

The “Notice” screen displays the following:

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
Initial	Amendment	33070 - Dargan Cataliers				
Amendment	Notice	<p><b>Select a Notice 33-109F1</b></p> <p><a href="#">Notice of Termination</a></p> <p><a href="#">Update/Correct Termination Information</a></p> <p><b>Select a Notice 33-109F5</b></p> <p><a href="#">Item 1 - Individual Name Change</a></p> <p><a href="#">Item 2 - Residential Address Change</a></p> <p><a href="#">Item 3 - Personal Information Change</a></p> <p><a href="#">Item 4 - Citizenship Information Change</a></p> <p><a href="#">Item 7 - Address or Agent for Service Change</a></p> <p><a href="#">Item 8 - Proficiency Information Change</a></p> <p><a href="#">Item 8 - Exemption Refusal Information Change</a></p> <p><a href="#">Item 9 - Employment Location Change</a></p> <p><a href="#">Item 10/11 - Current/Previous Employment Change</a></p> <p><a href="#">Item 12 - Resignations and Terminations Change</a></p> <p><a href="#">Item 13 - Regulatory Disclosure Change</a></p> <p><a href="#">Item 14 - Criminal Disclosure Change</a></p> <p><a href="#">Item 15 - Civil Disclosure Change</a></p> <p><a href="#">Item 16 - Financial Disclosure Change</a></p> <p><a href="#">Item 17 - Ownership of Securities and Derivatives Firms Change</a></p>				

For all Individual Amendments and Notices, the system will then present a search field to identify the individual for whom you are preparing a submission. Enter the individual’s NRD number and click **Continue**. The system will validate the number and retrieve the corresponding individual’s record as it pertains to the chosen submission type.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
-----------------	-----------------------	--------	------------------	--------------------	------------------	-------------

Initial  
Amendment  
Notice

20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.  
  
NRD No.:   
  

Continue >>    Reset

You should always verify that you have retrieved the correct individual before proceeding with a submission. After you enter the NRD number and click **Continue**, the system posts a heading in large blue text that includes the individual's NRD number and legal name at the left, along with the firm NRD number and name to the right, in slightly smaller blue text.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
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Name  
First Page  
Re-Assign Submission  
Complete Submission

808321 - Ethier, Delmar

20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.

Change Individual Name

Legal Name

For some Notice Types, the system will then present a list of jurisdictions in which the individual is currently registered (e.g. Address and Agent for Service Change). Click a province or territory to proceed with the submission.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
-----------------	-----------------------	--------	------------------	--------------------	------------------	-------------

Initial  
Amendment  
Notice

808321 - Ethier, Delmar

20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.

Item 5 - Registration Jurisdictions

Provinces or Territories

Click on a province or territory to provide registration information:

Provinces or Territories

[New Brunswick](#)  
[Ontario](#)

## Confirm Permanent Record screen

This is the final required screen before completing the following Initial submissions:

- Reinstatement of Registration
- Registration with an Additional Sponsoring Firm
- Registration in an Additional Jurisdiction

You are required to confirm whether various disclosures are current on the individual's Permanent Record. If so, check the "Not Applicable" box and click **Continue** to proceed to the **Complete Submission** process. If not, check the appropriate box(es) and click **Continue**. The system permits you to send the submission to regulators, but it is your responsibility to complete and send the appropriate notices to update your disclosure.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
<div> <div>INITIAL</div> <div>Registration Jurisdictions</div> <div>Registration Categories</div> <div>Address for Service</div> <div>Location of Employment</div> <div>Current Employment</div> <div>Resignations and Terminations</div> <div>Confirm Permanent Record</div> <div>Re-Assign Submission</div> <div>Complete Submission</div> </div>						
<div> <div>805951 - Dion, Marianne</div> <div>20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.</div> </div>						
<div>Transfer Individual</div> <div>Confirm Permanent Record</div> <p>By checking the appropriate box, indicate whether you have any new information to disclose for the items listed below. If your information is up-to-date, select "Not-Applicable".</p> <div> <input type="checkbox"/> Regulatory Disclosure           <input type="checkbox"/> Criminal Disclosure           <input type="checkbox"/> Civil Disclosure           <input type="checkbox"/> Financial Disclosure           <input type="checkbox"/> Related Securities Firms           <input type="checkbox"/> Not Applicable         </div> <p>If you have selected any box other than "Not Applicable", you will be required to update your information immediately upon sending this submission to regulators. Not updating the information may result in a delay in the approval of this submission.</p> <div> <div>Continue &gt;&gt;</div> <div>Reset</div> </div>						

**NOTE – Filing Notices for Individuals registered with more than one firm:**

If the individual is registered with two firms, only one firm is required to file the notice of change through NRD. Once one sponsoring firm has filed a notice, the system will not permit the other firm to file the same notice of change, until the regulator has approved that first notice.

When filing a notice of change for the record of an individual registered with multiples firms, the AFR should use the following procedure:

- Check to see if the Permanent Record has already been updated with the changes, i.e. does the Permanent Record show the updated information? If the record has been updated, the individual has already filed the notice via another sponsoring firm.
- If the change is reflected on NRD, you must still file the notice of change for your firm, however, you may not submit the change on NRD, and must submit a paper F5 on behalf of your firm with the appropriate regulators for review.
- If the change is not reflected on NRD, submit the appropriate NRD notice.
- If you receive an error message indicating that there is already a submission of this type in progress, this means that another sponsoring firm or another AFR has created or submitted that notice type. In that case, file a paper F5 to notify the regulator of the change.

TIP – When you get that error message, it is also possible that an AFR at your own firm has created or sent a notice, or that you already have the notice in your WIP – double-check to make sure you haven't already begun.



## 1. How to set up an individual to complete an initial submission

The following Initial submissions can be completed by the individual:

- Initial Registration
- Reactivation of Registration
- Submission for Individuals included in Data Transfer

As an AFR, when you select one of these submission types, the system asks you to indicate who is completing the submission. Select the “Individual Applicant” radio button and click **Continue**:

TIP – If you as the AFR is also the individual applicant do not select ‘Individual Applicant’.

**FIRM SUBMISSION** **INDIVIDUAL SUBMISSION** **SEARCH** **WORK IN PROGRESS** **SENT TO REGULATORS** **FIRM INFORMATION** **ADMIN TOOLS**

**20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.**

**Application Information**

Who will be completing the initial individual application?

☒ Individual Applicant  
☐ Authorized Firm Representative

**Continue >>** **Reset**

The system presents a Create Individual screen, as it does when the AFR is completing the submission her/himself. Complete the fields as required and click **Save & Continue**.

**Create Individual**

**Individual Information**

Last Name: Stevenson

First Name: Alec

Second Name: (if applicable)

Third Name: (if applicable)

Date of Birth: 1967 / 10 / 31 (YYYY/MM/DD)

**Save & Continue >>** **Reset**

The system creates the individual on the system, assigning her/him an NRD number, as well as a user ID and password. This is similar to the process of creating an AFR on the system, except that the individual also receives an NRD number. Print this page and forward it in a secure manner to the individual

applicant, who will then login to NRD. As with any new or reset user ID, this user must change her/his password upon the first login.

Create Individual Applicant - Confirmation	
Individual Information	
Name:	Stevenson, Alec
Legal Firm Name:	Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.
Firm NRD No.:	20240
Individual NRD No.:	819751
User ID:	STEVE0011
Password:	grd6mwwgy
Role:	Individual Applicant
<b><i>Password must be changed the first time you log in.</i></b>	
<a href="#">Printable Page</a>	

After the individual's successful login, the system presents the Individual task menu. The individual has access only to the submission and admin tools:

N•R•D		PRIVACY STATEMENT	HELP	FRANÇAIS	LOGOUT
INDIVIDUAL SUBMISSION	ADMIN TOOLS				
819751 - Stevenson, Alec		20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.			
<b>Task Menu</b>					
<a href="#">Individual Submission</a>					
<a href="#">Admin Tools</a>					

Under Admin Tools, the individual can change her/his password:

**INDIVIDUAL SUBMISSION**   **ADMIN TOOLS**

**819751 - Stevenson, Alec**   **20240 - Kapuskasing Securities Inc.**

**Task Menu**

[Change Password](#)

Click **Individual Submission** to work on the Initial. The local navigator and submission content is identical to what an AFR would see, except for the absence of the **Reassign** button.

**INDIVIDUAL SUBMISSION**   **ADMIN TOOLS**

**INITIAL**

**819751 - Stevenson, Alec**   **20240 - Kapuskasing Securities Inc./Valeurs mobilières de Kapuskasing Inc.**

**Item 1 - Name**

**Legal Name**

Last Name:

First Name:

Second Name: (if applicable)

Third Name: (if applicable)

Are you currently, or have you previously, been known by a name other than the name mentioned above?

☐ Yes ☐ No

**Save & Continue >>**   **Reset**

[INDIVIDUAL SUBMISSION](#) | [ADMIN TOOLS](#)

**Complete Submission**

**TIP** – Since there is no **Work in Progress** tab, the individual’s work is always saved to the **Individual Submission** tab after each successful save. The user may therefore end a session in NRD without losing any work, as long as s/he has saved the work before logging out.

**TIP** – Should the individual be locked out of the system by making 3 unsuccessful login attempts within a 30-minute period, s/he should contact the AFR who provided the user ID. If the AFR is an AFR administrator or the Chief AFR, s/he can reset the individual’s password. Otherwise, the AFR should have an AFR administrator or the Chief AFR reset the password for the individual.

When the individual is ready to forward the submission to the AFR, s/he clicks **Complete Submission** at the bottom of the local navigator. The system performs the standard completeness check, but the **Complete Submission** process is abbreviated compared to what the AFR would see.

NOTE: The submission can be reassigned back to an AFR of the firm by the Chief AFR or Admin AFR at anytime while the submission is with the individual applicant.

**Submit to Regulators - 2003280 - Initial Registration**

**Generate Form 33-109F4 Registration Information for Individual Report**

1. To recall a previously generated report, enter the Report No. and click on 'Generate'.

**OR**

2. To generate a new report, click on 'Generate'.

**OR**

3. To continue with submission to regulators, click on 'Continue >>'. Note that you will not be able to generate the report once the submission has been sent to regulators.

Report No.:

i)

The individual clicks **Continue** and the system presents the certification screen, asking the individual to certify that all information entered is true. Most of the AFR **Complete Submission** screens are not part of this process. When the individual certifies and completes the submission process by checking the certification box and clicking Submit to Firm, the submission is forwarded instantly to the AFR that created the submission. The individual is automatically logged out of the system at this point.

**INDIVIDUAL SUBMISSION** **ADMIN TOOLS**

**1040871 - Éthier, Hermas** **15610 - Conseillers en placements canadiens Inc./Canadian Investment Counsellors Inc.**

**Complete Submission - 2003280 - Submit to Firm**

**Certification**

An Authorized Firm Representative that submits information on your behalf to a regulator acts as your agent. It is an offence for you to submit information (either directly or through your agent) to a regulator that, in a material respect and at the time and in the light of the circumstances in which it is submitted, is misleading or untrue.

☒ By checking this box I certify that I understand the warning set out above.

**Submit to Firm**

To forward the submission to the firm, click on 'Submit to Firm'. This will result in your access to the system being revoked.

To edit your submission, click on 'Return to Submission'.

N·R·D

[PRIVACY STATEMENT](#)
[HELP](#)
[FRANÇAIS](#)

Logout

You have successfully logged out of the NRD system.

Click [here](#) to go to the NRD homepage.

If the individual logs back in now and clicks the **Individual Submission** tab, the system informs the user that the submission is under review by the firm. The individual cannot access or edit the submission.

INDIVIDUAL SUBMISSION

ADMIN TOOLS

1040871 - Éthier, Hermas

15610 - Conseillers en placements canadiens Inc./Canadian Investment Counsellors Inc.

Your submission is currently under review by the firm.

The submission can now be found in the **Work in Progress** list of the AFR who set up the individual.

FIRM SUBMISSION

INDIVIDUAL SUBMISSION

SEARCH

WORK IN PROGRESS

SENT TO REGULATORS

FIRM INFORMATION

ADMIN TOOLS

15610 - Conseillers en placements canadiens Inc./Canadian Investment Counsellors Inc.

Submissions in Progress

To edit a submission, click on a Submission Type.  
To sort by a column, click on the column title.  
To delete a submission, check the box beside a submission and click "Delete".  
Showing Results: 1-4 of 4

	NRD No.	Name	Submission No.	Submission Type	Created Date
<input checked="" type="checkbox"/>	1040871	Éthier, Hermas	2003280	<a href="#">Initial Registration</a>	2003/03/07
<input type="checkbox"/>	1040141	Tincopa, Erwin	20038	<a href="#">Initial Registration</a>	2003/03/04
<input type="checkbox"/>	1040131	Lévesque, Diane	20037	<a href="#">Initial Registration</a>	2003/03/04
<input type="checkbox"/>	1040111	Stanford, Mick	20035	<a href="#">Initial Registration</a>	2003/03/04

The AFR can open this submission like any other in the WIP list. The AFR may wish to **Reassign** the submission to the Individual if more information or a correction is required:

## Re-assign Submission

### Details

Type: Submission for Individuals Included in Data Transfer

Submission No: 200469855

Provide the User ID that this submission is being re-assigned to:

Save & Continue >>

Reset

Once the AFR is satisfied with the submission, s/he follows the Complete Submission process and sends it to regulator(s). Once the submission has been sent, the system automatically revokes the individual applicant's user ID, and s/he no longer has access to the system:

*You no longer have access to the system. Contact your user ID administrator for assistance.*

### Login

Enter Your User ID:

Enter Your Password:

Login

Reset

TIP – If you delete the submission from your WIP, the individual applicant's user ID should be manually revoked by the Chief AFR or Admin AFR.

## 2. INITIAL – Initial Registration

See [How to make an Initial Application.](#)

Refer to **Form 33-109F4** for the full text of this submission type. In particular the disclosure questions are available in their entirety in the form.

## 3. INITIAL - Reinstatement of Registration

See [How to Reinstate Registration.](#)

## 4. INITIAL – Registration with an Additional Sponsoring Firm

See [How to Register with an Additional Sponsoring Firm.](#)

## 5. INITIAL – Registration in an Additional Jurisdiction

See [How to Register in an Additional Jurisdiction.](#)

## 6. INITIAL – Reactivation of Registration

See [How to Reactivate Registration.](#)

## 7. AMENDMENT – Change or Surrender of Individual Categories

See [How to Change or Surrender Individual Categories.](#)

## 8. AMENDMENT – Apply for an Exemption

TIP – You cannot use NRD for this application if it is a pre-filing. Registered and permitted individuals must be **associated** with the firm on NRD before you can submit this application on NRD.

See [How to Apply for an Exemption.](#)

## 9. NOTICE – Notice of Termination

See [How to Complete a Notice of Termination](#).

Note: The individual's permanent record will not be updated with this information until the submission has been approved by Regulators

## 10. NOTICE – Update/Correct Termination Information

See [How to Update/Correct Termination Information](#).

## 11. NOTICE -- General Note for all other Notices

If the individual is registered with two firms, only one firm is required to file the notice of change through NRD. Once one sponsoring firm has filed a notice, the system will not permit the other firm to file the same notice of change, until the regulator has approved that first notice.

When filing a notice of change for the record of an individual registered with multiples firms, the AFR should use the following procedure:

- Check to see if the Permanent Record has already been updated with the changes, i.e. does the Permanent Record show the updated information? If the record has been updated, the individual has already filed the notice via another sponsoring firm.
- If the **change is reflected on NRD**, you must still file the notice of change for your firm, however, you may not submit the change on NRD, and must submit a **paper F5** on behalf of your firm with the appropriate regulators for review.
- If the **change is not reflected on NRD**, submit the appropriate NRD notice.
- If you receive an error message indicating that there is already a **submission of this type in progress**, this means that another sponsoring firm has created or submitted that notice type. In that case, file a paper F5 to notify the regulator of the change.

TIP – When you get that error message, determine if another AFR at your own firm has created or sent a notice, or that you already have the notice in your WIP.

Even though the “first” firm has filed a notice of the changes to the dually registered individual's record, the “second” firm is still required to file the notice of change within 5 business days of the event to ensure that all regulators receive the notice of change for that individual.



## 12. NOTICE – Individual Name Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 1 - Individual Name Change** from the list of Notice types. The system displays a search screen on which to identify the individual whose name is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the current Individual Name information that corresponds to the NRD number entered. Verify that you have retrieved the record of the correct individual. If this is the correct individual, make the appropriate changes to the record, and enter an effective date. This date must be a past or current date. If you wish to indicate a change in the current name of the individual, you must type over the current name. If you wish to indicate an alias or are adding a previous name to the individual's record, you must indicate that the individual is or has been known under other names - the system will guide you through the appropriate screens to add these other names to the individual's record. When you are ready, click **Save & Continue**. The system verifies that you have entered all the required information and guides you through the Complete Submission process.

## Item 1 - Individual Name Change

## 1. Legal name

Last Name:   
First Name:   
Second Name: N/A ☐   
Third Name: N/A ☒

Provide reason for name change :

Effective Date:  /  /  (YYYY/MM/DD)

## 2. Other personal names

Are you currently, or have you ever been, known by any names other than your full legal name above, for example, nicknames or names due to marriage?

## 3. Use of other names

Are you currently, or have you ever used, operated under, or carried on business under any name other than the name(s) mentioned above, for example, trade names for sole proprietorships or team names?

Note: The individual's permanent record will not be updated with this information until the submission has been approved by Regulators.

### 13. NOTICE – Residential Address Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 2 -Residential Address Change** from the list of Notice types. The system displays a search screen on which to identify the individual whose residential address is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the residential address information corresponding to the individual NRD number entered. Verify that you have retrieved the record of the correct individual before making changes and updates.

2453781 - Green, Richard 33070 - Dargan Cataliers

Item 2 - Residential Address Change

Current and Previous Addresses

Click on an address to edit the information:

Addresses	City	Phone	From	To	Added/Changed
<a href="#">1200 50th Avenue</a>	Yellowknife	555-555-5555	2005/06		
<a href="#">60 Sparrow Lake Drive</a>	Yellowknife	555-555-1111	1985/01	2005/06	

[Add Another](#) [Continue >>](#)

4. You can correct current and previous residential records and end-date the current residential record and add a new address. If you end-date the current record, you must add a new residential address with no “To” date.

If the individual has moved do not type over the current information. You must end-date the previous address and select ‘Add Another’.

TIP – If the residential address and mailing address differ from each other, record the residential address on line 1, and mailing address on line 2 (eg., for line 2: Mailing Address: P.O. Box 247). If the city, province and postal code are the same, you are not required to repeat them in the address field.

New records are marked “Added” in the “Added/Changed” column. Items drawn from the Permanent Record (Current and Previous residential records) can be edited – these will be marked as “Changed”. When you are ready, click **Save & Continue**.

5. The system verifies that you have entered all required data and guides you through the Complete Submission process.

Note: The individual's permanent record will not be updated with this information until the submission has been approved by Regulators.

## **TIP - Individual Relocation to Another Province**

When an individual relocates to a province in which they are not yet registered and they are surrendering their categories in the current jurisdiction, there are several submissions that must be filed to ensure that all regulators are advised of the change of residence. The AFR will:

1. Notify all affected Regulators outside of NRD – via email – that the individual is moving to another province and surrendering categories (if applicable). **Note:** This notification must include the individual's new actual working location.
2. Make a "Registration in an additional jurisdiction" submission to add a the new jurisdiction..
3. File a "Residential Address Change" notice.

Once the Regulator has approved the new jurisdiction submission, the AFR will

4. File the Change or Surrender of Individual categories submission to surrender the registration in the province that the individual has left. **Note:** If this notice is filed and approved prior to the Additional Jurisdiction submission the AFR will be prevented from filing that submission since the individual is no longer active.
5. File an "Employment Location Change" notice with regulators. **Note:** This cannot be filed until the individual is active in the province.

## 14. NOTICE – Personal Information Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 3 - Personal Information Change** from the list of notice types. The system displays a search screen on which to identify the individual whose personal information is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the current personal information corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual, and make the appropriate changes.

TIP – Every field is editable, which gives you the chance not only to update weight and other physical attributes, but also to correct the date and place of birth if they were originally filed incorrectly.

Enter an effective date – this must be a past or current date. When you are ready, click **Save & Continue**. The system verifies that you have entered all required information and guides you through the Complete Submission process.

The screenshot shows the 'Item 3 - Personal Information Change' form. At the top, there's a navigation bar with tabs: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. Below this, a sidebar on the left contains 'Personal Information', 'First Page', 'Re-Assign Submission', and 'Complete Submission'. The main content area shows the individual's details: '2453781 - Green, Richard' and '33070 - Dargan Cataliers'. The form is titled 'Item 3 - Personal Information Change' and 'Personal Description'. It includes fields for Date of Birth (1965 / 12 / 31), Place of Birth (City: North Bay, Province/Territory/State: Nunavut, Country: Canada), Gender (Female / Male), Eye colour (Green), Hair colour (Brown), Height (72 inches), Weight (160 lbs), and Effective Date. At the bottom, there are 'Save & Continue >>' and 'Reset' buttons.

Note: The individual's permanent record will not be updated with this information until the submission has been approved by Regulators.

## 15. NOTICE – Citizenship Information Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 4 - Citizenship Information Change** from the list of notice types. The system displays a search screen on which to identify the individual whose citizenship information is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the current citizenship information corresponding to the NRD number you entered. Verify that you have retrieved the record of the correct individual. Update the record as follows:
  - If you are changing the citizenship to "Canadian", no other data is required besides a check in the "Canadian" box, and an effective date. The effective date must be a past or current date.
  - If you are entering data for an "Other" citizenship, you must specify the citizenship beside the "Other" checkbox, and provide:
    - Passport Number
    - Country of citizenship (from the drop-down list)
    - Date of Issue of the passport
    - Place of Issuance of the passport: City, Province/Territory/State, and Country.
    - An effective date, which must be a past or current date.

**Item 4 - Citizenship Information Change**  
**1. Citizenship Information**

What is your country of citizenship?

☐ Canada

☒ Other, specify:

If you are a citizen of a country other than Canada, complete the following for that citizenship.

☐ Check here if you do not have a valid passport. Otherwise, provide:

Passport Number:	<input type="text" value="G55678452"/>
Date of Issue:	<input type="text" value="2009"/> / <input type="text" value="09"/> / <input type="text" value="01"/> (YYYY/MM/DD)
Place of Issue:	
City:	<input type="text" value="San Francisco"/>
Province/Territory/State:	<input type="text" value="California"/>
Country:	<input type="text" value="United States"/>
Effective Date:	<input type="text" value="2009"/> / <input type="text" value="09"/> / <input type="text" value="01"/> (YYYY/MM/DD)

**TIP** – If the individual is not a Canadian citizen and does not have a passport from her/his own country, complete the relevant fields as follows:

- Passport number: Type “N/A”
- Country of Citizenship: Select the country of citizenship from the drop-down list.
- Date of issue: enter the current date
- Place of Issuance – City : Type “N/A”
- Place of Issuance – Province/Territory/State: Select “Not Applicable” from the drop-down list
- Place of Issuance – Country: Select the country of citizenship from the drop-down list

**Item 4 - Citizenship Information Change**

**1. Citizenship Information**

What is your country of citizenship?

☐ Canada

☒ Other, specify:

If you are a citizen of a country other than Canada, complete the following for that citizenship.

☐ Check here if you do not have a valid passport. Otherwise, provide:

Passport Number:	<input type="text" value="n/a"/>
Date of Issue:	<input type="text" value="2009"/> / <input type="text" value="09"/> / <input type="text" value="01"/> (YYYY/MM/DD)
Place of Issue:	
City:	<input type="text" value="n/a"/>
Province/Territory/State:	<input type="text" value="Not Applicable"/>
Country:	<input type="text" value="Peru"/>
Effective Date:	<input type="text" value="2009"/> / <input type="text" value="09"/> / <input type="text" value="01"/> (YYYY/MM/DD)

4. When you are ready, click **Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.

**Note:** The individual’s permanent record will not be updated with this information until the submission has been approved by Regulators.

## 16. NOTICE – Address and Agent for Service Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 7 - Address and Agent for Service Change** from the list of notice types. The system displays a search screen on which to identify the individual whose address and agent for service information is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system displays a list of jurisdictions in which the individual is currently registered. Verify that you have retrieved the record of the correct individual. Click the appropriate province or territory to proceed. This submission can be sent to only one jurisdiction at a time.

The screenshot shows the NRD system interface. The top navigation bar includes tabs for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The left sidebar has a menu with Initial, Amendment, and Notice. The main content area displays the title "2453781 - Green, Richard" and "33070 - Dargan Cataliers". Below this, it shows "Item 5 - Registration Jurisdictions" and a section titled "2. Provinces or Territories". Under this section, there is a list of provinces and territories: Northwest Territories, Prince Edward Island, and Quebec.

4. The system displays the current Address and Agent for Service for the selected jurisdiction. Select **Continue** to advance to the search screen.

The screenshot shows the NRD system interface. The top navigation bar includes tabs for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The left sidebar has a menu with Address for Service, First Page, Re-Assign Submission, and Complete Submission. The main content area displays the title "2453781 - Green, Richard" and "33070 - Dargan Cataliers". Below this, it shows "Item 7 - Address and Agent for Service Change - Prince Edward Island" and "Schedule D". Under this section, there is a section titled "1. Address for Service" with the following information: Address Line 1: 1000 Front Street, Address Line 2: (if applicable) Ste 1200, City: Charlottetown, Province/Territory: Prince Edward Island, Postal Code: MOMOMO, Country: Canada, Telephone Number: 444-555-6666 ext.: (if applicable), Fax number: (if applicable) 444-555-6667, and E-Mail Address: (if available) service2dargan\_cataliers.ca. Below this, there is a section titled "2. Agent for Service" with the following information: Name of Agent for Service: Martin L.L.B., Contact Person: Last Name: Martin, First Name: Pauline. At the bottom right, there is a "Continue >>" button.



- There are two ways to populate address and agent for service: i) you can use a location associated with the firm (address for service, branch, sub-branch or head office) providing the location is in the jurisdiction you have selected, or ii) you can manually enter the information.

**2453781 - Green, Richard** 33070 - Dargan Cataliers

**Item 7 - Address and Agent for Service - Prince Edward Island**

**Search Criteria**

Enter information in at least one of the text boxes below to begin your search:

NRD Location Number:

OR

Address Contains:

City:

Province/Territory: Prince Edward Island

Type of Location: Address for Service

NRD No. of Supervisor:

To use a location, enter the information in search fields and select **Search**.

TIP – it is recommended that you leave all fields blank and only use the location type to perform your search.

When the search results are returned, select the NRD number hyperlink.

**2453781 - Green, Richard** 33070 - Dargan Cataliers

**Item 7 - Address and Agent for Service Change - Prince Edward Island**

**Search Criteria**

Enter information in at least one of the text boxes below to begin your search:

NRD Location Number:

OR

Address Contains:

City:

Province/Territory: Prince Edward Island

Type of Location: Address for Service

NRD No. of Supervisor:

**Search Results**

Showing Results: 1-1 of 1

NRD Location Number	Address Line 1	City	Province	Type of Location
<a href="#">553282</a>	305 March Street	Alecstown	Prince Edward Island	Address for Service

Enter the effective date and select **Save & Continue**.

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
Address for Service First Page Re-Assign Submission Complete Submission		<b>2453781 - Green, Richard</b>				<b>33070 - Dargan Cataliers</b>
<b>Item 7 - Address and Agent for Service Change - Prince Edward Island</b> <b>Schedule D</b>						
<b>1. Address for Service</b>						
Address Line 1: 305 March Street Address Line 2: (if applicable) City: Alecstown Province/Territory: Prince Edward Island Postal Code: L0L0L0 Country: Canada Telephone Number: 1 ext.: (if applicable) Fax number: (if applicable) 1 E-Mail Address: (if available)						
<b>2. Agent for Service</b>						
Name of Agent for Service: Contact Person: Last Name: First Name:						
<b>Other Information</b>						
Effective Date: 2009 / 09 / 01 (YYYY/MM/DD) <div> <input type="button" value="Cancel"/> <input type="button" value="Save &amp; Continue &gt;&gt;"/> <input type="button" value="Reset"/> </div>						

To manually input the address for service, select **Add** from the main page

FIRM SUBMISSION	INDIVIDUAL SUBMISSION	SEARCH	WORK IN PROGRESS	SENT TO REGULATORS	FIRM INFORMATION	ADMIN TOOLS
Address for Service First Page Re-Assign Submission Complete Submission		<b>2453781 - Green, Richard</b>				<b>33070 - Dargan Cataliers</b>
<b>Item 7 - Address and Agent for Service Change - Prince Edward Island</b>						
<b>Search Criteria</b>						
Enter information in at least one of the text boxes below to begin your search:						
NRD Location Number: <input type="text"/>						
<b>OR</b>						
Address Contains: <input type="text"/>						
City: <input type="text"/>						
Province/Territory: Prince Edward Island						
Type of Location: Address for Service <input type="button" value="v"/>						
NRD No. of Supervisor: <input type="text"/>						
<div> <input type="button" value="Add"/> <input type="button" value="Search"/> <input type="button" value="Reset"/> </div>						

To manually input the address for service, select **Add** from the main page.

Enter the information and effective date and select **Save & Continue**

## 17. NOTICE – Proficiency Information Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 8 - Proficiency Information Change** from the list of notice types. The system displays a search screen on which to identify the individual whose proficiency information is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the record corresponding to the NRD number you entered. Verify that you have retrieved the record of the correct individual. You can add new proficiency information or edit previously disclosed information. To add new information select 'Add Another'.

If the applicant was not exempt from the course/exam:

- Course/Exam name (if you select "Other" from the drop-down list, type in the name of the course/exam in the "Other" field)
- Date Completed
- Effective Date (must be a past or current date)

If the applicant was exempt from the course/exam:

- Course/Exam name (if you select "Other" from the drop-down list, type in the name of the course/exam in the "Other" field)
- Check the "Exempt" checkbox
- Date Exempted
- Exemption Granted by (select an organization from the drop-down list)
- Effective Date (must be a past or current date)

## Item 8 - Proficiency Information Change

### Schedule E

#### 1. Course or examination information and other education

Complete Schedule E to indicate each course and examination that is required for registration or approval and that you have successfully completed or have been exempted from.

**You are required under securities legislation to provide this information.**

Course or examination or other education: Canadian Investment Finance Course Part I

If 'Other' is selected above, specify:

Date Completed: 2009 / 08 / 31 (YYYY/MM/DD)

Exempt: ☐

Date Exempted: / / (YYYY/MM/DD)

Exemption Granted by:

Effective Date: 2009 / 08 / 31 (YYYY/MM/DD)

Add Another

Save & Continue >>

Reset

Click **Add Another** to enter information for another proficiency. When you are ready, click **Save & Continue**. The system validates the information entered and displays a list of the proficiencies entered during the submission, as well as those copied from the Permanent Record.

**TIP – Course/Exam Completion Date** – In some cases, you may not be able to obtain the month and date of a course/exam completion date. After making best efforts (applicants should check personal records, contact the institution, and finally contact the regulator), if the month and date cannot be obtained, you may enter the known year, a default month and date: 01/01.

## Item 8 - Proficiency Information Change

#### 1. Course or examination information and other education

Click on a course or examination to edit the information

Course or Examination	Date Completed or Exempted	Exempted	Removed	Added/Changed
<a href="#">Canadian Investment Finance Course Part I</a>	2009/08/31	No		Added
<a href="#">Canadian Securities Course</a>	2000/06/30	No		
<a href="#">Canadian Investment Management Program (Part 1)</a>	2004/04/30	No		
<a href="#">Canadian Investment Management Program (Part 2)</a>	2006/01/31	No		
<a href="#">MBA - International Finance</a>	2008/09/15	No		

Add Another

Continue >>

To edit any entries, click the hyperlink for that entry, and edit as appropriate.

**NOTE – Editing proficiencies copied from the Permanent Record:**

The system allows you to make the following changes to previously disclosed proficiencies:

- Date completed or Date exempted
- Exempt/Not Exempt
- Remove a course disclosed in error. This allows you to flag a course as “removed”, but does not delete the course from the Permanent Record. You are also required to provide a reason for the removal. For example, it could have been submitted in error, or duplicate entries could have been made.

The system does not allow you to change the following for previously disclosed proficiencies:

- The Name of the course/exam. To change the name of a course you must remove the incorrect entry and select ‘Add Another’ to enter the correct information.

Undo a course Removal that was approved in the Permanent Record (you can undo a removal done in the course of the submission)

You may delete any record added in the submission by opening that record, checking the **Delete** box in the upper right corner, and clicking **Save & Continue**. The system re-displays the list of proficiencies and the deleted entry no longer appears. When you are satisfied with the list, click **Continue**.

4. The system displays a screen for updating student number information. The system copies whatever student numbers are contained in the Permanent Record. Every student number field can be edited. If you previously disclosed a number in error, you cannot simply clear the field. Delete the field, and type “X”

## Item 8 - Proficiency Information Change

## 2. Student Numbers

If you have a student number for a course that you successfully completed with one of the following organizations, provide it below:

☐ Check here if you (a) do not have a student number with one of the following institutions, (b) are not required under securities legislation or derivatives legislation or both, or the rules of an SRO to satisfy any course or examination requirements, or (c) have previously disclosed this information on NRD.

CSI Global Education (formerly Canadian Securities Institute)	<input type="text" value="X"/>
IFSE Institute (formerly IFIC)	<input type="text" value="X"/>
Institute of Canadian Bankers (ICB)	<input type="text" value="456-4441 &amp; 465-4425"/>
CFA Institute (formerly AIMR)	<input type="text"/>
Advocis (formerly CAIFA)	<input type="text" value="890-12322-01"/>



NOTE – It is possible that the applicant has completed courses with one of the institutions listed, but was never assigned a student number, or cannot retrieve the student number.

- Applicants must make best efforts to retrieve students numbers. That is, they should carefully check their own records, contact the institution for help, and if that fails, contact the regulator.
- If the applicant took courses from ONLY ONE of the institutions listed and cannot retrieve the applicable student number, they may click the checkbox indicating that a), s/he does not have a student number for that institution.

However, if the applicant has taken courses from MORE THAN ONE institution listed, and s/he does have student numbers for at least one, s/he should enter the available student numbers in the appropriate fields. For the institutions where the applicant took courses but could not retrieve a student number, type “Not Available”.

5. Make any changes or updates as appropriate and click **Save & Continue** when you are ready.
6. The system verifies that you have entered all required information and guides you through the Complete Submission process.

Note: The individual’s permanent record will not be updated with this information until the submission has been approved by Regulators.

## 18. NOTICE – Exemption Refusal Information Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 8 - Exemption Refusal Information Change** from the list of notice types. The system displays a search screen on which to identify the individual whose exemption refusal information is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system displays the current exemption refusal information corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. The system displays a question asking whether the individual has been refused exemption from courses, exams or experience requirements.
  - If the previous answer was “No”, select the “Yes” radio button and click Save & Continue to proceed.
  - If the individual has a record of previous refusals, click Save & Continue to proceed directly to the next screen.



Item 8 - Exemption Refusal Information Change

**3. Exemption Refusal**

Has any securities regulator, derivatives regulator or SRO refused to grant you an exemption from a course, examination or experience requirement?

☒ Yes ☐ No

Save & Continue >>    Reset

4. The system displays a form in which you are to disclose the following:
  - The securities authority or self-regulatory organization that refused to grant the exemption.
  - The name of the course, exam or experience requirement that was refused exemption.
  - The reason for the refusal.

You must also enter an effective date. The effective date must be a past or current date. If you have more than one exemption refusal to disclose for this individual, click Add Another. Otherwise, click **Save & Continue**.

## Item 8 - Exemption Refusal Information Change

## Schedule F

**3. Exemption Refusal**

Complete the following for each exemption that was refused.

Which securities regulator, derivatives regulator or SRO refused to grant the exemption?

Ontario Securities Commission

State the name of the course, examination or experience requirement:

Canadian Securities Course

State the reason given for not being granted the exemption:

Insufficient experience.

Date Exemption Refused: 2009 / 09 / 01 (YYYY/MM/DD)

Add Another

Save & Continue >>

Reset

5. When you click **Save & Continue** after making your last exemption refusal entry, the system displays these entries listed by proficiency name. To review, edit or delete any item, click its proficiency name. When you are finished, click **Save & Continue** to return to the list of proficiencies you entered.

## Item 8 - Exemption Refusal Information Change

**Exemption Refusal Information**

Click on a proficiency requirement to edit the information

**3. Exemption Refusal**

Canadian Securities Course

Add Another

Continue >>

When you are ready, click **Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.



## 19. NOTICE – Employment Location Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 9 - Employment Location Change** from the list of notice types. The system displays a search screen on which to identify the individual whose employment location is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system displays **Item 9 – Location of Employment** “Unique Identification Number” for entry of a new ID Number. The field is exclusively for firm use, and may be used to record Cost Centre number, Human Resource number or any other unique identifier for the individual. Enter the information if applicable and press **Save & Continue**.

The system displays the individual's current employment location. Verify that you have retrieved the record of the correct individual and click **Continue**.

4. The system displays a search screen to identify the individual's new employment location. Enter the desired criteria and click **Search**. The system retrieves a list of your firm's business locations that meet the search criteria. Click a location NRD number to continue.

Note: To search for Head Office use NRD No. or type of Location only.

TIP – You may not change an individual's employment location to a jurisdiction in which s/he is not registered.

5. The system displays the record for the selected business location, including the Supervisor or Branch Manager, Location type (Head Office, Branch or Sub-Branch), and the address. If this is not the correct location, click **Cancel** to execute a new location search. If this is the correct location, enter an effective date. The date must be a past or current date.

The screenshot shows the NRD system interface. At the top, there are tabs: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The 'INDIVIDUAL SUBMISSION' tab is selected. Below the tabs, there is a sidebar with 'Location of Employment' and 'First Page' links. The main content area displays '2453781 - Green, Richard' and '33070 - Dargan Cataliers'. Below this, it says 'Item 9 - Employment Location Change'. A message states: 'Select 'Complete Submission' from the local navigator if you are not disclosing a change to the location of employment.' The 'Current Business Address' section contains the following fields: NRD Location Number (556902), Type of business location (Branch or Business Location), Supervisor or Branch Manager (2419151 - Karpodini, Peter), Address Line 1 (33 Old Post Road), Address Line 2 (if applicable), City (Yellowknife), Province/Territory/State (Northwest Territories), Postal/ZIP Code (L0L0L0), Country (Canada), Telephone Number (867-555-1212 ext.), Fax No. (867-555-1212), and Effective Date (2009 / 09 / 01 (YYYY/MM/DD)). At the bottom, there are three buttons: 'Save & Continue >>', 'Reset', and 'Cancel'.

TIP – If in addition to the Location change, there are changes to the type of business or employment and duties, number of hours, changes to the individual's employment with the sponsoring firm – i.e. now in a principal/agent relationship – you must file a Notice of Current/Previous Employment Change.

6. When you are ready, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.

### TIP - Individual Relocation to Another Province

When an individual relocates to a province in which they are not yet registered and they are surrendering their categories in the current jurisdiction, there are several submissions that must be filed to ensure that all regulators are advised of the change of residence. The AFR will:

1. Notify all affected Regulators outside of NRD – via email – that the individual is moving to another province and surrendering categories (if applicable). **Note:** This notification must include the individual's new actual working location.
2. Make a "Registration in an additional jurisdiction" submission to add a the new jurisdiction..

3. File a “Residential Address Change” notice.

Once the Regulator has approved the new jurisdiction submission, the AFR will

4. File the Change or Surrender of Individual categories submission to surrender the registration in the province that the individual has left. **Note:** If this notice is filed and approved prior to the Additional Jurisdiction submission the AFR will be prevented from filing that submission since the individual is no longer active.

File an “Employment Location Change” notice with regulators. **Note:** This cannot be filed until the individual is active in the province.

## 20. NOTICE – Current/Previous Employment Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 10/11 - Current/Previous Employment Change** from the list of notice types. The system displays a search screen on which to identify the individual whose employment information is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system displays the first screen of the notice: a list of Current Employment records drawn from the Permanent Record. Verify that you have retrieved the record of the correct individual. Click **Add Another** to add a new record, or click the **Name of Business** hyperlink of a current record you wish to change. If you are adding new current employment do not type over the existing current employment entry. You must select to 'Add Another'.

The screenshot shows the 'Current Employment' screen for Peter Karpodini (NRD 2419151) at Dargan Cataliers (33070). The left sidebar has a menu with 'Change Employment', 'Current Employment' (selected), 'Previous Employment', 'Re-Assign Submission', and 'Complete Submission'. The main content area is titled 'Item 10/11 - Current/Previous Employment Change'. Below this is a section 'Employment Information' with the instruction 'Click on a name of business or employment to edit the information:'. A table lists current employment records:

Name of Business or Employment	From	To	Added/Changed
<a href="#">RBT Investments</a>	2009/08/01		Added
<a href="#">Dargan Cataliers</a>	2009/01/01		

At the bottom are two buttons: 'Add Another' and 'Continue >>'.

4. You can also use this notice to update or correct previous employment information. Click **Previous Employment** in the local navigator to change previous employment information, or to view Current employment records that you end-dated in the course of this submission.

The screenshot shows the 'Previous Employment' screen for Peter Karpodini (NRD 2419151) at Dargan Cataliers (33070). The left sidebar menu is the same as the previous screenshot, but 'Previous Employment' is now selected. The main content area is titled 'Item 10/11 - Current/Previous Employment Change'. Below this is a section 'Employment Information' with the instruction 'Click on a name of business or employment to view the information:'. A table lists previous employment records:

Name of Business or Employment	From	To	Added/Changed
<a href="#">Cortol Technologies</a>	2005/04	2008/12	Changed
<a href="#">Unemployed</a>	2004/03	2005/03	
<a href="#">Full-time student</a>	1999/01	2004/02	

At the bottom are two buttons: 'Add Another' and 'Continue >>'.

NOTE - An individual registrant who is a President, CEO or Managing Partner may disclose that they report to the Board of Directors. Under “Name and Title of Immediate Supervisor”, type the following:

- Last Name: “N/A”
- First Name: “N/A”

Title of Immediate Supervisor: “governing body”, EG Board of Directors; partnership.

5. Changes made in the notice are recorded in the “Added/Changed” column of the Current and Previous employment information lists as follows:
  - “Added” signifies a new record added during the preparation of the notice. Whether a new item is entered and saved once or edited any number of times while the AFR prepares the notice, this new item always shows as “Added”, never “Changed”. “Added” items can be deleted from the submission.
  - “Changed” signifies an item drawn from the Permanent Record has been edited in some way (end-dated, corrected or updated in any field). End-dated Current items that were drawn from the Permanent Record are moved to the Previous list, and are flagged as “Changed”. “Changed” items and any items drawn from the Permanent Record cannot be deleted.
6. When you are ready, click **Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.

Note: The individual’s permanent record will not be updated with this information until the submission has been approved by Regulators.

**NOTE – How to record Maternity Leave and Long-Term Disability (LTD)**

Regulators do not suspend individuals on maternity/parental or disability leave. Also, it is not mandatory for firms to advise the regulators of Short-Term Disability for licensed/registered and non-licensed/approved individuals who do not hold supervisory positions. However, firms are required to notify regulators of Short-Term Disability for individuals who hold supervisory positions (i.e., Compliance Officers/Branch Managers). This notification may be submitted to the regulators by way of a NRD submission or in writing.

To indicate Maternity Leave or Disability, use this notice to change Current Employment information as follows:

- Change the employment details to indicate the individual is on leave.
- Change the working hours to read ‘1’ (this is a mandatory field and zero ‘0’ is not permitted).

In text field “a”, provide a short description of the nature of your leave, including the effective date and expected return date. For example, “Maternity leave – effective January 15, 2004, expected return January 2, 2005”.

**TIP – For applicants working from a branch or sub-branch** - When filling out current employment with the sponsoring firm, enter the Head Office address in the “Address of business or employer”. This field was intended to capture the Head Office of the employer rather than an individual’s working location. The working location is to be recorded under Item 9 – Employment Location.

## 21. NOTICE – Resignations and Terminations Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 12 Resignations and Termination Change** from the list of notice types. The system displays a search screen on which to identify the individual whose disclosure is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the current disclosure information corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual.

See Item 12 in Form 33-109F4 for the full text of the resignations and terminations disclosure questions.

4. To add new disclosure, select the appropriate “Yes” radio button(s). Click on **Save & Continue**. Select the appropriate hyperlink(s) for each question answered “Yes.” Provide the disclosure details.

To modify existing disclosure details, do not change any of the existing answers. Click on **Save & Continue**. Select the appropriate hyperlink and provide the additional details as well as an effective date.

➤ You may not change a “Yes” answer to a “No” if it was retrieved from the Permanent Record.

5. When you are satisfied that you have provided all the necessary disclosure information, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.

NOTE - The individual's permanent record will not be updated with this information until the submission has been approved by Regulators.

## 22. NOTICE – Regulatory Disclosure Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 13 - Regulatory Disclosure Change** from the list of notice types. The system displays a search screen on which to identify the individual whose regulatory disclosure is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the current regulatory disclosure information corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual.

See Item 13 in Form 33-109F4 for the full text of the regulatory disclosure questions.

4. To add new disclosure, select the appropriate "Yes" radio button(s). Click on **Save & Continue**. Select the appropriate hyperlink(s) for each question answered "Yes." Provide the disclosure details.

To modify existing disclosure details, do not change any of the existing answers. Click on **Save & Continue**. Select the appropriate hyperlink and provide the additional details as well as an effective date.

➤ You may not change a "Yes" answer to a "No" if it was retrieved from the Permanent Record.

5. When you are satisfied that you have provided all the necessary disclosure information, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.

For further information, refer to NRD Explanatory Guide No. 2: Item 13 – Regulatory Disclosure.

NOTE - Upon suspension by a Commission, IIROC, SRO, or other regulatory body, the registrant must provide a Regulatory Disclosure change to update the appropriate section in Item 13.



### 23. NOTICE – Criminal Disclosure Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 14 - Criminal Disclosure Change** from the list of notice types. The system displays a search screen on which to identify the individual whose criminal disclosure is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the current criminal disclosure information corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. See Item 14 in Form 33-109F4 for the full text of the criminal disclosure questions.
4. To add new disclosure, select the appropriate "Yes" radio button(s). Click on **Save & Continue**. Select the appropriate hyperlink(s) for each question answered "Yes." Provide the disclosure details.

To modify existing disclosure details, do not change any of the existing answers. Click on **Save & Continue**. Select the appropriate hyperlink and provide the additional details as well as an effective date.

➤ You may not change a "Yes" answer to a "No" if it was retrieved from the Permanent Record.

5. When you are satisfied that you have provided all the necessary disclosure information, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.

Note: The individual's permanent record will not be updated with this information until the submission has been approved by Regulators.

## 24. NOTICE – Civil Disclosure Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 15 - Civil Disclosure Change** from the list of notice types. The system displays a search screen on which to identify the individual whose civil disclosure is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the current civil disclosure information corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. See Item 15 in Form 33-109F4 for the full text of the civil disclosure questions.
4. To add new disclosure, select the appropriate "Yes" radio button(s). Click on **Save & Continue**. Select the appropriate hyperlink(s) for each question answered "Yes." Provide the disclosure details.

To modify existing disclosure details, do not change any of the existing answers. Click on **Save & Continue**. Select the appropriate hyperlink and provide the additional details as well as an effective date.

➤ You may not change a "Yes" answer to a "No" if it was retrieved from the Permanent Record.

5. When you are satisfied that you have provided all the necessary disclosure information, click **Save & Continue**. The system verifies that all you have entered all required data and guides you through the Complete Submission process.

Note: The individual's permanent record will not be updated with this information until the submission has been approved by Regulators.

## 25. NOTICE – Financial Disclosure Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 16 - Financial Disclosure Change** from the list of notice types. The system displays a search screen on which to identify the individual whose financial disclosure is to be changed. Enter that individual's NRD number and click **Continue**.
3. The system retrieves the current financial disclosure information corresponding to the NRD number entered. Verify that you have retrieved the record of the correct individual. See Item 16 in Form 33-109F4 for the full text of the financial disclosure questions.
4. To add new disclosure, select the appropriate "Yes" radio button(s). Click on **Save & Continue**. Select the appropriate hyperlink(s) for each question answered "Yes." Provide the disclosure details.

To modify existing disclosure details, do not change any of the existing answers. Click on **Save & Continue**. Select the appropriate hyperlink and provide the additional details as well as an effective date.

➤ You may not change a "Yes" answer to a "No" if it was retrieved from the Permanent Record.

5. When you are satisfied that you have provided all the necessary disclosure information, click **Save & Continue**. The system verifies that you have entered all required data and guides you through the Complete Submission process.

Note: The individual's permanent record will not be updated with this information until the submission has been approved by Regulators.

## 26. NOTICE – Ownership of Securities and Derivatives Firms Change

1. On the Main Navigator, click the **Individual Submission** tab and select **Notice** from the list of submission types.
2. Select **Item 17 – Ownership of Securities and Derivatives Firms Change** from the list of notice types. The system displays a search screen on which to identify the individual whose related securities information is to be changed. Enter that individual's NRD number and click **Continue**.
3. Verify that you have retrieved the record of the correct individual.
4. The system displays the question regarding ownership of securities and derivatives firms. (See Item 17 in Form 33-109F4 for the full text of the questions and forms that follow). If the individual has previously answered "Yes", the system displays the message "You have previously provided disclosure for this item". Click **Save & Continue** to update the information. If the individual has previously answered "No", the "Yes" and "No" radio buttons are displayed with the "No" button selected. You must change the selection to "Yes" and click **Save & Continue** to proceed with the submission.

The screenshot shows a web interface with a top navigation bar containing tabs: FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. On the left, a sidebar lists: Ownership of Securities and Derivatives Firms, First Page, Re-Assign Submission, and Complete Submission. The main content area displays the title '2453781 - Green, Richard' and '33070 - Dargan Cataliers'. Below this is the heading 'Item 17 - Ownership of Securities and Derivatives Firms Change' and a sub-heading 'Ownership of Securities and Derivatives Firms'. The text reads: 'Are you now, or have you ever been, a partner or major shareholder of any firm (including your sponsoring firm) whose business is trading in or advising on securities or derivatives or both?' followed by 'You have previously provided disclosure for this question.' At the bottom are two buttons: 'Save & Continue >>' and 'Reset'.

5. The system presents a list of related securities firms previously disclosed. Or, if you are disclosing this information for the first time, the system displays the Ownership of Securities and Derivatives Firm Change form immediately. See Item 17 in the Initial Registration submission illustration, as well as Item 17 in Form 33-109F4 for details on completing the various screens for this item.

The screenshot shows the same web interface as the previous one. The main content area displays the heading 'Item 17 - Ownership of Securities and Derivatives Firms Change' and a sub-heading 'Schedule N'. Below this is the heading 'Ownership of Securities and Derivatives Firms'. The text reads: 'To edit related securities firms information, click on a firm:'. Below this is a table with two columns: 'Firm Name' and 'Beneficial Owner'. The entry shown is 'Green Securities Ltd.' and 'Green, Mary'. At the bottom are two buttons: 'Add Another' and 'Continue >>'.

6. If you are adding to previous disclosure, either click **Add Another** to add a related securities firm, or click a firm name to update firm or beneficial partner information. This updating can include ceasing a related securities firm's relationship to the individual, and/or ceasing any beneficial owners' relationship to their related securities firm. Cease a relationship by opening the firm or individual record. There is a **Cease relationship** checkbox at the top of every firm or beneficial owner record. After you check this box and click **Save & Continue** at the bottom of the screen, the system displays the firm or beneficial owner's name with "(Ceased)" after the name. When this submission is approved, this information will be saved to the individual's Permanent Record.

The screenshot shows the NRD system interface for an individual's record. The top navigation bar includes tabs for FIRM SUBMISSION, INDIVIDUAL SUBMISSION, SEARCH, WORK IN PROGRESS, SENT TO REGULATORS, FIRM INFORMATION, and ADMIN TOOLS. The left sidebar contains links for Ownership of Securities and Derivatives Firms, First Page, Re-Assign Submission, and Complete Submission. The main content area displays the title '2453781 - Green, Richard' and '33070 - Dargan Cataliers'. Below this, the section 'Item 17 - Ownership of Securities and Derivatives Firms Change Schedule N' is shown. A table titled 'Ownership of Securities and Derivatives Firms' lists the following information:

Firm Name	Beneficial Owner
Green Securities Ltd. (Ceased)	Green, Mary (Ceased)

A 'Continue >>' button is located at the bottom of the table.

When you are satisfied that you have made all appropriate updates and changes, click **Continue** on the summary list of related securities firms, or **Complete Submission** on the local navigator.

## NRD<sup>®</sup> FORM 1 - ENROLMENT OF FIRM

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**TO:** CDS INC. (Attention: NRD Administrator)  
85 Richmond Street West, Toronto, Ontario M5H 2C9

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Please select one box:

☐ **Initial Filing by Firm in the National Registration Database ("NRD")**  
All sections must be completed. **Appendix A must be attached and signed. Return this form with NRD Form 3 NRD Account Holder Authorization, and if required, NRD Form 2 Enrolment of Chief Authorized Firm Representative,** together with a true copy of the certificate of incorporation, certificate of amendment or other business registration document issued by the applicable governmental office that confirms the current legal name of the firm, as stated in section 1 below, and any required NRD enrolment fees by cheque payable to "CDS INC." and deliver by prepaid mail or personal delivery to the NRD administrator at the address above, or to such other address as may be provided at the NRD website.

☐ **Change to Previous Filing**  
Describe change(s):

- ☐ Appointment of **new** chief AFR  
- complete sections 1, 2, 4 & 5
- ☐ Change of **current** chief AFR name  
- complete sections 1, 2, 4 & 5
- ☐ NRD account information for pre-authorized debit  
- complete sections 1, 2, 4 & 5

Do not resubmit Appendix A. Changes will be effective after the NRD administrator has completed its processing of all required information and forms. Return this form with any other forms (if required eg. NRD Form 2 and/or NRD Form 3) and related documents (if required eg. Void cheque of the NRD account) and deliver by prepaid mail, personal delivery or fax to the NRD administrator at the address above, or by fax to 1-866-729- 8011, or to such other address or fax number as may be provided at the NRD website.

**Changes to information in section 1 must be reported directly to the securities regulatory authority or regulator and not to the NRD administrator.**

### General Instructions:

- A. This form may be downloaded from the NRD<sup>®</sup> website at [www.nrd.ca](http://www.nrd.ca).
- B. Authorized signatories of the firm must sign the form and Appendix A manually.

## Section 1 Firm Information

Full legal name of firm:	
Firm NRD number (only required if a change to previous filing):	Head office main phone number: (      )

## Section 2 Confirmation of Appointment of Chief AFR

The firm confirms that it has appointed the person below as its sole chief AFR and confirms that it has revoked all prior appointments to this position. The information completed in this section must match the information completed in section 1 of NRD Form 2.

Last name:		First name:
Second name (if applicable):	Third name (if applicable):	User ID if already a chief AFR *:

\* If the chief AFR does not have an active user ID from a previous appointment as a chief AFR or wishes to obtain an additional active user ID for this appointment, a completed NRD Form 2 must accompany this form.

## Section 3 NRD Account Information for Electronic Pre-Authorized Debit

The firm confirms the following NRD account information from which the payment of fees shall be made through NRD by electronic pre-authorized debit as authorized by the chief AFR or other AFRs appointed to act on behalf of the firm and confirms that any existing NRD account previously set up by the NRD administrator is to be replaced by this NRD account. A completed NRD Form 3 must accompany this form and the information completed in this section must match the information completed in section 3 of the corresponding NRD Form 3.

Name of NRD account holder:	
Name of NRD account holder's financial institution**:	
Branch transit number:	Account number:

\*\* The financial institution selected must be a member of the Canadian Payments Association.

## Section 4 Contact Information

If the NRD administrator has any questions about the information provided on this form, it can contact:

Last name:	First name:		
Business address (street name and number):	Municipality (city, town, etc):	Province/territory/state:	Postal code:
Direct phone number : (    ) Extension if applicable:	Fax number:  (    )	E-mail address:	

## Section 5 Acknowledgements of Firm

All access to and use of NRD shall be subject **to the Terms and Conditions of Use attached as Appendix A to the Initial Filing of this form by the firm, and any amendments thereto.**

All confirmations, notices and other correspondence between the NRD administrator and the firm shall be sent to the attention of the then current chief AFR of the firm, at the e-mail address or fax number of the chief AFR, as selected by the chief AFR on NRD Form 2, as such e-mail or fax number may be amended by the chief AFR upon notice on NRD Form 2 to the NRD administrator.

Changes to certain information shall be made as follows:

- The firm shall deliver an amended NRD Form 1 and a new or an amended NRD Form 3 to the NRD administrator at least 10 business days prior to a change of the NRD account named in section 3 of this form.
- The firm shall deliver an amended NRD Form 3 to the NRD administrator within 5 business days of a change to the contact information for the NRD account in section 2 of NRD Form 3.
- Unless a firm is changing its legal name or NRD account, it shall deliver an amended NRD Form 1 to the NRD administrator as soon as practicable following a change to the information on the most recently submitted NRD Form 1.



The firm agrees that an executed copy of this form, if delivered to the NRD administrator by fax, shall have the same effect as an originally executed copy delivered to the NRD administrator.  
The firm has caused this form to be signed by its duly authorized signatories on its behalf:

Name of firm:			
<div style="border-bottom: 1px solid black; height: 1.2em; margin-bottom: 2px;"></div> Signature of authorized signatory	Print name of signatory:	Direct phone number: (     ) Extension if applicable:	Date: (dd/mm/yyyy)
<div style="border-bottom: 1px solid black; height: 1.2em; margin-bottom: 2px;"></div> Signature of authorized signatory	Print name of signatory:	Direct phone number: (     ) Extension if applicable:	Date: (dd/mm/yyyy)

## Article II. Appendix A to NRD Form 1

### Terms and Conditions of Use (last amended January 21, 2003)

ACKNOWLEDGED on behalf of the	
Firm:	_____
	<i>name of firm</i>
by:	_____
	<i>signature of authorized signatory</i>
by:	_____
	<i>signature of authorized signatory</i>

NRD<sup>®</sup> is the National Registration Database created to facilitate the filing of information pursuant to National Instrument 31-102 - *National Registration Database (NRD)*, and National Instrument 33-109 - *Registration Information* (collectively, the "Instrument") and pursuant to Manitoba and Ontario Securities Commission Rules 31-509 (*Commodity Futures Act*) National Registration Database and 33-506 (*Commodity Futures Act*) Registration Information. Further details on the Instruments and NRD can be found in Companion Policy 31-102CP, Companion Policy 33-109CP and the NRD Filer Manual. NRD was also created to facilitate the electronic payment of fees using the NRD website located at [www.nrd.ca](http://www.nrd.ca). NRD is an initiative of the participating Canadian securities regulatory authorities (collectively, the "CSA") and the Investment Industry Regulatory Organization of Canada.

The use of NRD and the NRD website by or on behalf of the firm is subject to NRD Form 1 and the following terms and conditions of use agreed to between the NRD administrator and the firm (the "Agreement"):

1. **Firm Responsibilities.** Following completion of enrolment in NRD in accordance with the NRD Filer Manual, a firm's authorized firm representatives and individual filers may access and use the NRD website only by the provision of a valid user ID, password and, if applicable, a personal identification number. A firm's authorized firm representatives consist of the chief AFR appointed by the firm, any AFR administrators appointed by the chief AFR and any other AFRs appointed by the chief AFR or by an AFR administrator (collectively, the "AFRs"). Only AFRs may use NRD on behalf of the firm to make NRD submissions and electronic payments of fees.

For the purposes of the firm's NRD submissions, the firm shall ensure that: (a) only its AFRs and individual filers will be permitted access to and use of the NRD website; and (b) it has implemented and maintains reasonable security precautions to control the access and use of NRD including the protection of user IDs, passwords and if applicable, personal identification numbers. The authority of the chief AFR to act on behalf of the firm shall remain in effect until the NRD administrator receives written notice to the contrary from the firm. The firm acknowledges and

agrees that it is solely responsible for any access and use of the NRD website by its AFRs and individual filers.

In the event that any conduct of the firm or any of its AFRs or individual filers is harmful to the operation of NRD and/or the NRD website, the NRD administrator reserves the right to deactivate a user ID or otherwise prevent or restrict any AFRs, individual filers and/or unauthorized individuals from access to use all or any part of the NRD website immediately and without notice. Access may be prevented or restricted as long as such conduct continues.

2. **Authorized Use of the NRD website.** The firm shall use the NRD website and any links to other web sites from the NRD website ("Linked Sites") in accordance with the NRD Filer Manual and for lawful purposes only. The firm agrees not to introduce into or through the NRD website any information or materials that may be harmful to others.

The firm shall not use NRD, the NRD website or Linked Sites in any manner that, based on the reasonable knowledge or belief of the firm, could damage, disable, overburden, or impair NRD or the NRD website or interfere with any other person's use of NRD or the NRD website. The firm shall not use any robot, spider or other automatic device, software program or manual process in a manner that interferes with any web pages on NRD, the NRD website or Linked Sites.

3. **Payments.** The firm agrees to pay to the NRD administrator all NRD enrolment fees, NRD submission fees, NRD annual filer fees and other fees and charges for services, plus applicable taxes, duties and other levies, as such fees and charges are set out in the NRD Filer Manual, a regulator notice or this Agreement. In the case of NRD submission fees, NRD annual filer fees and other fees or charges approved by the CSA or set out in the NRD Filer Manual, such fees and charges shall be paid in NRD by electronic pre- authorized debit using the NRD account.

The firm acknowledges that electronic payments for the firm may be authorized by any of the AFRs. It is the firm's responsibility to ensure that the NRD account stays current and available for electronic payments of NRD fees and charges payable to the NRD administrator, as those NRD fees and charges become due. The firm agrees to cease initiating or authorizing electronic payments from the NRD account immediately upon revocation or cancellation by the NRD account holder of the NRD account holder's NRD Form 3.

The firm agrees to pay interest to the NRD administrator on all unpaid fees and charges at the rate of 1% per month (12% per annum) from and after the due date, and shall pay any reasonable charges the NRD administrator establishes from time to time for failed payments or payments that were not honoured.

4. **Intellectual Property.** "NRD", "www.nrd.ca" and related words and logos are trade-marks and/or trade names of the NRD administrator (collectively, the "Trade-marks"). Nothing in this Agreement, on the NRD website or on NRD shall be construed as granting, either expressly, by implication or otherwise, a license or other right to the firm to use the Trade-marks, or copyright or any other intellectual property right of the NRD administrator or CSA. The names of other companies, products or services referred to on the NRD website may be trade-marks or trade names of their respective owners. Any unauthorized use of the Trade-marks or third party trade-marks or trade names, or copyright or any other intellectual property right of NRD administrator or CSA is strictly prohibited.

All right, title and interest in the NRD website, NRD, all software used on the NRD website and all materials provided on the NRD website including, without limitation, associated information, databases, site design, text and graphics, are owned by the CSA, the NRD administrator or their respective suppliers and are protected by Canadian and international copyright laws (the "proprietary content"). All rights are reserved.

Any unauthorized use, reproduction, modification or distribution of the proprietary content is strictly prohibited and may cause the NRD administrator serious damages for which money damages may not constitute a sufficient remedy and in such instances the NRD administrator may seek and obtain injunctive relief, in addition to any other remedies.

5. **Privacy.** Personal information contained in NRD is governed by privacy laws, including without limitation, the federal *Personal Information Protection and Electronic Documents Act* and corresponding provincial privacy legislation. The firm is fully responsible for compliance with all privacy laws. The NRD website is subject to the terms of the NRD administrator's Privacy Statement, which can be viewed at the NRD website.
6. **Limitation of Liability and Disclaimers.** Access to and use of the NRD website is provided on an "as is" and "as available" basis. The firm's use of the NRD website is entirely at its own risk. To the fullest extent permitted by law, except as stated in this Agreement, the NRD administrator and any of its affiliates, employees, agents, officers, contractors, directors or third party providers (collectively "Related Parties") disclaim all warranties, representations or conditions of any kind, whether express or implied, including the implied warranties or conditions of merchantability and fitness for a particular purpose. The NRD administrator and the Related Parties make no representations, warranties or conditions about the accuracy, reliability, completeness, currency, quality, timeliness or usefulness of the NRD website or any goods, information or service provided through the NRD website. The NRD administrator and the Related Parties are not responsible for, nor do they independently verify, any of the content nor do they assume any obligation to update content or advise on further developments relating to NRD. The firm should not assume that NRD will be error-free, timely, accurate, and complete or that NRD will operate without interruption.

In no circumstances shall the NRD administrator and the Related Parties or other third parties mentioned on the NRD website be liable for any indirect, special, incidental, consequential or punitive damages or damages for lost profits arising out of or in connection with this Agreement or the use of or inability to make use of the NRD website, the content or any service provided through the NRD website, whether based on warranty, contract, tort, negligence or any other legal theory, irrespective of notice. To the extent that some jurisdictions do not allow exclusions or limitations on some categories of damages, these exclusions or limitations may not apply to the firm. Notwithstanding the express exclusions and limitations set out in this Agreement, any and all liability of the NRD administrator and the Related Parties for actual and direct damages, unless caused by the gross negligence or wilful misconduct of the NRD administrator, is limited to the repayment from the NRD administrator to the firm, without duplication, in respect of the specific filing or use of this NRD website (the "claim") to a maximum amount of the fee paid to the NRD administrator in respect of which the filing or use of this NRD website was made, less amounts, if any, repaid by the NRD administrator for other claims in respect of the same filings or uses of this NRD website, provided that the firm is not in breach of this Agreement.

7. **Indemnity.** The firm agrees to indemnify and hold harmless the NRD administrator and the Related Parties from any claims, actions, demands, liabilities and settlements, including, without limitation, reasonable legal fees and costs, resulting from the firm's material breach of this Agreement, gross negligence or willful misconduct in relation to its use of the NRD website by AFRs, individual filers and/or unauthorized individuals.
8. **Links to Other Sites.** The NRD website may contain Linked Sites. Unless specifically noted, the Linked Sites, and/or the content, goods or services sold or made available on the Linked Sites, are not under the control of the NRD administrator and accordingly the NRD administrator does not assume any responsibility for the same. The Linked Sites are provided only as a convenience, and the inclusion of any link does not imply that NRD administrator guarantees, recommends, approves, warrants or endorses the site, or any content, goods or services sold or made available on or through the site, or any association with its operations. Use of any Linked Sites is entirely at the firm's own risk. Nothing in this Agreement grants the firm any rights or authorization with respect to any Linked Sites.
9. **Governing Law.** If the head office of the firm is situated in a jurisdiction in which the Instrument has been enacted, this Agreement shall be governed by, and the firm submits to, the applicable laws in force in the province of the head office of the firm and the laws of Canada applicable therein. Otherwise, this Agreement shall be governed by, and the firm submits to, the laws in force in the province where the head office of the NRD administrator is located and the laws of Canada applicable therein.
10. **Modification of Agreement.** Subject to the approval of the CSA, the NRD administrator may modify this Agreement at any time(s) by either posting notice of such modified agreement on the NRD website or by delivering a notice and copy of such modified agreement to the firm, and the firm agrees that it is deemed to have accepted such modification as is in effect at the time if, after such time, the AFRs and/or individual filers continue to access and use the NRD website. In the event of the foregoing, the firm agrees that it shall be bound by the provisions of the modified Agreement notwithstanding the lack of a manual signature of the firm upon any amended agreement.

This Agreement was last updated on the date shown above. Anything in the NRD website inconsistent with this Agreement is superseded by this Agreement.

11. **Modification to the NRD website.** The NRD administrator reserves the right to modify, add, change, discontinue or suspend the NRD website or any services made available on or through the NRD website in whole or in part, at any time without prior notice, subject to the approval of the CSA in most instances.
12. **Miscellaneous.** The provisions of sections 5, 6 and 7 shall survive termination of this Agreement. No waiver or failure to enforce any of the terms of this Agreement shall be deemed or construed as a waiver or continuing waiver of such term or any other term of this Agreement. If in any jurisdiction, any of the terms or portions of terms in this Agreement are held to be invalid or unenforceable by a court of competent jurisdiction, such term or portion of a term shall be severed, restricted or eliminated to the minimum extent necessary and will be deemed superseded by a valid enforceable term or portion of a term that most closely matches the intent of the original provision and the remaining provisions in this Agreement shall otherwise remain in full force and effect. It is the express wish of the parties that this Agreement and all related documents and

correspondence to the firm have been or shall be drawn up in English. C'est la volonté expresse des parties que la présente convention ainsi que les documents qui s'y rattachent soient rédigés en anglais. Any cause of action arising out of or related to this Agreement must commence within two years after the cause of action arose; otherwise such cause of action is hereby waived and permanently barred. Headings are for convenience only and shall not affect the interpretation of this Agreement.

13. **Contact Us.** All notices to the NRD administrator pursuant to this Agreement must be sent to CDS INC., to the attention of the NRD administrator by fax at 1-866-729-8011; or by prepaid mail or personal delivery to 85 Richmond Street West, Toronto, Ontario M5H 2C9.

In the event of any questions or comments about the NRD website or the services offered by NRD administrator, the NRD administrator may be reached by calling 1-800-219-5381 or by sending a fax, as noted above. All notices, submissions, ideas or other information cannot be returned and once submitted, become the property of the NRD administrator.

© CDS INC. 2003 (attention: NRD Administrator). All Rights Reserved.

## NRD<sup>®</sup> FORM 2 - ENROLMENT OF CHIEF AUTHORIZED FIRM REPRESENTATIVE

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**TO:** CDS INC. (Attention: NRD Administrator)  
85 Richmond Street West, Toronto, Ontario M5H 2C9

**AND TO:** Each **Firm** that appoints the undersigned as its chief AFR using the user ID assigned in respect of this enrolment.

---

### STRICTLY CONFIDENTIAL

Please select one box:

- ☐ **First enrolment as a chief AFR in the National Registration Database ("NRD")**
- ☐ **Request for a new user ID in connection with this enrolment as a chief AFR. Currently, you have one or more active user IDs as a chief AFR with one or more firms.**  
Do not provide any of your current user IDs to the firm enrolling you via this NRD Form 2.  
**Note:** If this form was already completed in respect of a previous enrolment by you as a chief AFR and you wish to use the user ID assigned in respect of that enrolment, do not complete this form. Provide a current user ID to the firm enrolling you. The firm must include this user ID in section 2 of NRD Form 1 *Enrolment of Firm*.
- ☐ **Change to Previous Filing**  
Describe change(s):
- ☐ Personal Identification Number  
- complete sections 1, 3 & 4
  - ☐ **Current** chief AFR **legal** name change  
- complete sections 1 & 4, **provide proof of name change** and return this form with NRD Form 1 (with sections 1, 2, 4 & 5 of NRD Form 1 completed by the firm).

Within five (5) business days of the change, return this form and any requested documents to the NRD administrator as described below. Changes will be effective after the NRD administrator has completed its processing of all required information and forms.

**General Instructions:**

- A. This form may be downloaded from the NRD® website at [www.nrd.ca](http://www.nrd.ca).
- B. A manual signature is required by the chief AFR.
- C. If a firm is enrolling an initial chief AFR or a new chief AFR, this form must be accompanied by NRD Form 1 completed by the firm when delivered to the NRD administrator. The names completed in section 1 of this form must match the names completed in section 2 of NRD Form 1.
- D. The personal identification number referenced in section 3 of this form is to be kept strictly confidential. For security reasons, the chief AFR may choose to return this completed form, together with NRD Form 1, if required under C. above, to the NRD administrator on behalf of the firm.
- E. Return this form by prepaid mail or personal delivery to the NRD administrator at the address above or, if this form is accompanied by an amended NRD Form 1 as required under C above, it may be returned to the NRD administrator by fax to 1-866-729-8011, or by e-mail to [nrdadministrator@cds.ca](mailto:nrdadministrator@cds.ca), in both cases, to such other address, fax number or e-mail address as may be provided on the NRD website.

**Section 1 Chief AFR Information**

Last name:		
First name:	Second name:	Third name:
Direct phone number: (     )	Fax number: (     )	E-mail address:
Extension if applicable:		



## Section 2 Firm Information

Legal name of the firm that has appointed the chief AFR:	Firm NRD number (if firm has previously enrolled and is changing the chief AFR or any chief AFR information):
--	---

## Section 3 Personal Identification Number

Select **four to six numbers, not beginning with zero**, as the unique confidential personal identification number ("PIN") of the chief AFR. The PIN will be required to allow the chief AFR to access the NRD website.

The chief AFR will be asked to reset his or her password after accessing the NRD website for the first time. It is the sole responsibility of the chief AFR to implement appropriate security precautions to ensure that the PIN selected below is kept strictly confidential.

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## Section 4 Acknowledgements of Chief AFR

NRD® is the National Registration Database created to facilitate the filing of information\ pursuant to National Instrument 31-102- *National Registration Database (NRD)*, and National Instrument 33-109 - *Registration Information* and pursuant to Manitoba and Ontario Securities Commission Rules 31-509 (*Commodity Futures Act*) National Registration Database and 33-506 (*Commodity Futures Act*) Registration Information. Further details on these instruments and NRD can be found in Companion Policy 31-102CP, Companion Policy 33-109CP and the NRD Filer Manual. NRD was also created to facilitate the electronic payment of fees using the NRD website.

The chief AFR confirms that he or she has accepted the appointment by the firm as the firm's chief AFR. The chief AFR acknowledges that the payment of fees by electronic pre-authorized debit on behalf of the appointing firm(s) from each firm's NRD account may be authorized by the chief AFR, or by any other AFRs appointed on behalf of such firm.

In the event that any conduct of any of the AFRs or individual filers of a firm is harmful to the operation of NRD and/or the NRD website, the NRD administrator shall so notify the chief AFR of that firm and the chief AFR agrees to revoke or otherwise prevent or restrict such AFRs, individual filers and/or unauthorized individuals from access to use all or any part of the NRD website immediately.

### Notice - Collection and Use of Personal Information

The personal information that you provide on this form to the NRD administrator will be used to facilitate your access to and use of NRD and will not be used for any other purpose. The NRD administrator will retain your completed NRD Form 2 as evidence of your enrolment as a chief AFR. The information you provide on this form or otherwise through NRD will not be disclosed to any third party except for any of

the Canadian securities regulatory authorities, the Investment Industry Regulatory Organization of Canada or their authorized representatives for purposes of the administration or enforcement of securities legislation in the applicable jurisdictions. For information about the use of the information collected on this form or to obtain access to the information you have submitted, contact the NRD administrator at the address provided above or by telephone at 1-800-219-5381.

The chief AFR acknowledges that all access to and use of NRD shall be subject to the terms mentioned above.

Print name of chief AFR:			
Last name:	First name:	Second name:	Third name:
Signature of chief AFR:		Date: (dd/mm/yyyy)	
<hr/>			

## NRD<sup>®</sup> FORM 3 - NRD ACCOUNT HOLDER AUTHORIZATION

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**TO:** CDS INC. (Attention: NRD Administrator)  
85 Richmond Street West, Toronto, Ontario M5H 2C9

**AND TO:** The **Firm** identified in section 1 below

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Please select one box:

☐ **Initial Filing by NRD<sup>™</sup> account holder in the National Registration Database (“NRD”)**  
All sections must be completed. This form must be returned by the firm with NRD Form 1 *Enrolment of Firm* and, if required, NRD Form 2 *Enrolment of Chief Authorized Firm Representative*.

☐ **Change to Previous Filing**  
Changes will be effective after the NRD administrator has completed its processing of all required information.

Describe change(s): ☐ Change to contact information  
- complete sections 1, 2 & 4  
The NRD administrator must receive this form within 5 business days of the change. The NRD account holder may return this form directly to the NRD administrator.

☐ Change to NRD account information  
- complete sections 1, 3 & 4  
Desired business date of change: \_\_\_\_\_, 200\_\_\_\_.  
The firm must return this form with NRD Form 1. The NRD administrator must receive this form at least 10 business days before the desired business date of change.

### General Instructions:

- A. This form may be downloaded from the NRD<sup>®</sup> website at [www.nrd.ca](http://www.nrd.ca).
- B. Complete the information requested in this form in type or legible print. The NRD account information completed in section 3 below must match the information completed in section 3 of NRD Form 1. Authorized signatories of the NRD account holder must sign the form manually.
- C. Return this completed form, together with a blank cheque for the NRD account named in section 3 below, marked on the front with “VOID” and deliver by prepaid mail, personal delivery or fax to the NRD administrator at the address above, or by fax to 1-866-729-8011, or to such other address or fax number as may be provided on the NRD website.

## Section 1 Firm Information

Full legal name of firm :	Firm NRD number (only required if a change to previous filing):
---------------------------	---

## Section 2 Contact Information for NRD account

Name of NRD account holder:			
Business address (street name and number):		Municipality (city, town, etc.):	
Province/territory/state:	Postal code:	Main Phone Number: (    )	Fax number: (    )
Last name of NRD account holder's contact person:		First name of NRD account holder's contact person:	
Direct phone number: (    ) Extension if applicable:		E-mail address:	

## Section 3 NRD Account Information for Electronic Pre-authorized Debit

Name of NRD account holder's financial institution*:	
Branch transit number:	Account number:

\*The financial institution selected must be a member of the Canadian Payments Association.

## Section 4 Authorization and Agreement of NRD Account Holder

4.1 The NRD account holder hereby authorizes and directs to the NRD administrator to enrol the NRD account stated in section 3 in NRD as contemplated in National Instrument 31-102 *National Registration Database*, Ontario Securities Commission Rules 31-509 (*Commodity Futures Act*) National Registration Database, Companion Policy 31-102CP, the NRD Filer Manual referenced in such Companion Policy and other applicable provincial and territorial laws.

4.2 The NRD account holder authorizes the payment of fees and charges from time to time on behalf of the firm stated in section 1 by electronic business pre-authorized debit ("PAD") in NRD from the NRD

account to one or more of the following payees, their successors or assigns, as such list of payees may be amended from time to time in NRD (collectively the “Payees”):

British Columbia Securities Commission  
Alberta Securities Commission  
Saskatchewan Financial Services Commission  
The Manitoba Securities Commission  
Ontario Securities Commission  
L'Autorité des marchés financiers  
New Brunswick Securities Commission  
Prince Edward Island Securities Registry  
Nova Scotia Securities Commission  
Securities Commission of Newfoundland and Labrador  
Registrar of Securities, Northwest Territories  
Nunavut Securities Registry  
Registrar of Securities, Yukon, Community Services  
Investment Industry Regulatory Organization (applicable branch for each

jurisdiction)

CDS INC.

4.3 The NRD account holder authorizes the Payees to draw from time to time PADs on the NRD account at the financial institution completed in section 3 (the “Financial Institution”) and the NRD account holder authorizes the Financial Institution to honour and pay such PADs. The agreements in this NRD Form 3 are provided for the benefit of the Payees, their financial institutions and the Financial Institution and are provided in consideration of the Financial Institution agreeing to process debits against the NRD account in accordance with the rules of the Canadian Payments Association affecting the payment services provided in NRD (the “Rules”). The NRD account holder agrees that any direction provided on its behalf in the manner set out in this NRD Form 3, to draw a PAD, and any PAD drawn in accordance with this NRD Form 3, shall be binding on it as if signed by or drawn by the NRD account holder.

4.4 In order to revoke or cancel the continuing authorization provided in this NRD Form 3, the NRD account holder shall provide written notice of revocation or cancellation to the NRD administrator by personal delivery or fax to the NRD administrator as set out on page 1, and to the firm. Any revocation or cancellation does not terminate or otherwise affect any other obligation or agreement between the NRD account holder, the firm and/or the Payees.

4.5 The NRD account holder agrees that the Financial Institution is not required to verify that any PAD has been drawn in accordance with this NRD Form 3, including the amount, frequency and fulfillment of any purpose of any PAD.

4.6 The NRD account holder agrees that delivery of this NRD Form 3 to the NRD administrator constitutes delivery by it to the Financial Institution. The NRD account holder agrees that the NRD administrator may deliver this NRD Form 3 to any Payees’ financial institution and agrees to the disclosure of any information, which may be contained in this NRD Form 3 to such financial institution.

4.7 The NRD account holder agrees to waive the pre-notification requirements of the Rules and to abide by any modification to the pre-notification requirements as provided in NRD at or prior to the time that a PAD is authorized.

4.8 The NRD account holder acknowledges that PAD payments in NRD are variable, annual and/or sporadic, and there is no maximum amount of payment. In addition, PAD payments may be top-ups or adjustments. The NRD account holder further acknowledges that PAD payments in NRD from the NRD account are authorized by any Authorized Firm Representative, including the chief Authorized Firm Representative appointed to act on behalf of the firm (collectively “AFR”), all of whom have access to the NRD account and information pertaining to the NRD account for this purpose. The NRD account holder agrees that an AFR’s user ID, NRD password and NRD submission provide valid authorization for the Payee or its agent to debit the NRD account for the amount(s) indicated in the NRD submission. The NRD account holder acknowledges that it will not have independent access to NRD other than through an AFR and that the NRD administrator is not required to provide the NRD account holder with access to NRD or any information pertaining to any AFR.

4.9 The NRD account holder may dispute a PAD by providing a signed declaration to the Financial Institution under the following conditions:

- (i) the PAD was not drawn in accordance with this NRD Form 3;
- (ii) this NRD Form 3 was revoked or cancelled; or
- (iii) any pre-notification required and not waived was not received by it or by any AFR.

The NRD account holder acknowledges that, in order to obtain reimbursement from the Financial Institution for the amount of a disputed PAD, the NRD account holder must sign a declaration to the effect that either (i), (ii) or (iii) above took place and present it to the Financial Institution up to and including but not later than ten (10) business days after the date on which the disputed PAD was posted to the NRD account. The NRD account holder acknowledges that, after this ten (10) business day period, the NRD account holder shall resolve any dispute regarding a PAD solely with the Payee, and that the Financial Institution shall have no liability to the NRD account holder respecting any such PAD.

4.10 The NRD account holder certifies that all information provided with respect to the NRD account is accurate and the NRD account holder agrees to deliver an amended NRD Form 3 to the NRD administrator within five (5) business days of a change to the contact information for the NRD account and at least ten (10) business days prior to the desired business date of a change to the NRD account information.

4.11 Except where caused solely by the negligent actions of the NRD administrator, the NRD account holder agrees to indemnify and hold the NRD administrator harmless from and against and reimburse the NRD administrator for all losses, costs, fees, damages, expenses, liabilities, claims, suits and demands whatsoever that it may suffer, incur or be under or that may be made or brought against the NRD administrator, by whomsoever made or brought, by reason of or in any way arising out of the action in drawing, issuing, instructing, paying, disputing and/or reimbursing of any PAD on the NRD account issued in accordance with instructions by AFRs on behalf of the NRD account holder, including without limitation, any interest claims, claims resulting from stop payments and declarations filed by the NRD account holder or any other person.

4.12 The NRD account holder warrants and guarantees that it has the authority to electronically agree to commit to this NRD Form 3 by secure electronic signature and that its secure electronic signature conforms with the requirements of the Rules.

4.13 The NRD account holder agrees to comply with the Rules, or any other rules or regulations which may affect the services described herein, as may be introduced in the future or are currently in effect and

to execute any further documents reasonably required by the NRD administrator or prescribed from time to time by the Canadian Payments Association in respect of the services described herein.

4.14 The NRD account holder agrees to pay other NRD fees and charges established by the NRD administrator from time to time, including those for failed payments or payments that were not honoured and interest on unpaid fees and charges at the rate of 1% per month (12% per annum) on behalf of the firm.

4.15 It is the express wish of the parties that this NRD Form 3 and any related documents be drawn up and executed in English. Les parties conviennent que la présente NRD Form 3 et tous les documents s'y rattachant soient rédigés et signés en anglais.

4.16 The NRD account holder agrees to the foregoing terms and conditions, all of which shall ensure to the benefit of and be binding upon the NRD account holder and its successors and assigns. The NRD account holder agrees that an executed copy of this form delivered to the NRD administrator by fax shall have the same effect as an originally executed copy delivered to the NRD administrator. The NRD account holder warrants and agrees that it has caused this form to be signed by its duly authorized signatories on its behalf.

Name of NRD account holder:		
<div style="border-bottom: 1px solid black; height: 1.2em; width: 100%;"></div> Signature of authorized signatory	Print name:	Date: (dd/mm/yyyy)
<div style="border-bottom: 1px solid black; height: 1.2em; width: 100%;"></div> Signature of authorized signatory	Print name:	Date: (dd/mm/yyyy)

# FORM 33-109F4 – REGISTRATION INFORMATION FOR AN INDIVIDUAL

## FORM 33-109F4 REGISTRATION OF INDIVIDUALS AND REVIEW OF PERMITTED INDIVIDUALS (section 2.2)

### GENERAL INSTRUCTIONS

Complete and submit this form to the relevant regulator(s) or in Québec, the securities regulatory authority, or self-regulatory organization (SRO) if an individual is seeking registration in individual categories or is seeking to be reviewed as a permitted individual. You only need to complete and submit one of this form regardless of the number of categories you are seeking to be registered in.

#### Terms

In this form, “you”, “your” and “individual” mean the individual who is seeking registration or the individual who is filing this form as a permitted individual under securities legislation or derivatives legislation or both.

“Sponsoring firm” means the registered firm where you will carry out your duties as a registered or permitted individual.

“Derivatives” means financial instruments, such as futures contracts (including exchange traded contracts), futures options and swaps whose market price, value or payment obligations are derived from, or based on, one or more underlying interests. Derivatives can be in the form of instruments, agreements or securities.

“Major shareholder” and “shareholder” mean a shareholder who, in total, directly or indirectly owns voting securities carrying 10 per cent or more of the votes carried by all outstanding voting securities.

“Approved person” means, in respect of a member of the IIROC (Member), an individual who is a partner, director, officer, employee or agent of a Member who is approved by the IIROC or another Canadian SRO to perform any function required under any IIROC or another Canadian SRO By-law, Regulation, or Policy.

Several terms used in this form are defined in the securities legislation of your province or territory. Please refer to those definitions.

#### How to submit this form

##### **NRD format**

Submit this form at the National Registration Database (NRD) website in NRD format at [www.nrd.ca](http://www.nrd.ca). You are only required to submit one form regardless of the number of registration categories you are seeking. If you have any questions, contact the compliance, registration or legal department of the sponsoring firm or a legal adviser, or visit the NRD information website at [www.nrd-info.ca](http://www.nrd-info.ca).

##### **Format, other than NRD format**

If you are relying on the temporary hardship exemption in section 5.1 of National Instrument 31-102 *National Registration Database*, you may submit this form in a format other than NRD format.

If you need more space, use a separate sheet of paper. Clearly identify the Item and question number. Complete and sign the form, and send it to the relevant regulator(s) or, in Québec, the securities regulatory authority, SRO (s) or similar authority. The number of originally signed copies of the form you are required to submit depends on the province or territory, and on the regulator, the securities regulatory authority or SRO.

To avoid delays in processing this form, be sure to answer all of the questions that apply to you. If you have questions, contact the compliance, registration or legal department of the sponsoring firm or a legal adviser, or visit the National Registration Database information website at [www.nrd-info.ca](http://www.nrd-info.ca).

#### Item 1 Name

##### 1. Legal name



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Last name	First name	Second name (N/A <input type="checkbox"/> )	Third name (N/A <input type="checkbox"/> )
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NRD number (if applicable) \_\_\_\_\_

**2. Other personal names**

Are you currently, or have you ever been, known by any names other than your full legal name above, for example, nicknames or names due to marriage?

Yes ☐ No ☐

If "yes", complete Schedule A.

**3. Use of other names**

Are you currently, or have you ever used, operated under, or carried on business under any name other than the name(s) mentioned above, for example, trade names for sole proprietorships or team names?

Yes ☐ No ☐

If "yes", complete Schedule A.

**Item 2 Residential address**

Provide all of your residential addresses, including any foreign residential addresses, for the past 10 years.

**1. Current and previous residential addresses**

\_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

\_\_\_\_\_

Telephone number \_\_\_\_\_

Lived at this address since (YYYY/MM) \_\_\_\_\_

If you have lived at this address for less than 10 years, complete Schedule B.

**2. Mailing address**

☐ Check here if your mailing address is the same as your current residential address provided above. Otherwise, complete the following:

\_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

\_\_\_\_\_

**Item 3 Personal information**

1. Date of birth \_\_\_\_\_  
(YYYY/MM/DD)

2. Place of birth \_\_\_\_\_  
(city, province, territory or state, country)

3. Gender Female ☐ Male ☐

4. Eye colour \_\_\_\_\_
5. Hair colour \_\_\_\_\_
6. Height \_\_\_\_\_ ☐ in. or \_\_\_\_\_ ☐ cm
7. Weight \_\_\_\_\_ ☐ lbs. or \_\_\_\_\_ ☐ kg

**Item 4 Citizenship**

**1. Citizenship information**

What is your country of citizenship?

- ☐ Canada
- ☐ Other, specify: \_\_\_\_\_

**2. If you are a citizen of a country other than Canada, complete the following for that citizenship.**

- ☐ Check here if you do not have a valid passport. Otherwise, provide:

Passport number: \_\_\_\_\_

Date of issue: \_\_\_\_\_  
(YYYY/MM/DD)

Place of issue: \_\_\_\_\_  
(city, province, territory or state, country)

**Item 5 Registration jurisdictions**

**1. Are you filing this form under the passport system / interface for registration?**

Only choose "no" if:

- (a) you are seeking registration only in your principal jurisdiction,  
(b) you are seeking review as a permitted individual only in your principal jurisdiction

and you are not currently registered under securities legislation in any jurisdiction of Canada,

Yes ☐ No ☐

**2. Check each jurisdiction where you are seeking registration or review as a permitted individual:**

- ☐ All jurisdictions
- ☐ Alberta
- ☐ British Columbia
- ☐ Manitoba
- ☐ New Brunswick
- ☐ Newfoundland and Labrador
- ☐ Northwest Territories
- ☐ Nova Scotia
- ☐ Nunavut
- ☐ Ontario
- ☐ Prince Edward Island
- ☐ Québec
- ☐ Saskatchewan
- ☐ Yukon

## Item 6 Individual categories

1. On Schedule C, check each category for which you are seeking registration as an individual or review as a permitted individual. If you are seeking review as a permitted individual, check each category that describes your position with your sponsoring firm.
2. If you are seeking registration as a representative of a mutual fund dealer or of a scholarship plan dealer in Québec, are you covered by your sponsoring firm's professional liability insurance?

Yes ☐ No ☐

If "No", state:

The name of your insurer \_\_\_\_\_

Your policy number \_\_\_\_\_

## Item 7 Address and agent for service

### 1. Address for service

You must have one address for service in each province or territory where you are submitting this form. A residential address or a business address is acceptable. A post office box is not acceptable. Complete Schedule D for each additional address for service you are providing.

Address for service:

\_\_\_\_\_  
(number, street, city, province or territory, postal code)

Telephone number \_\_\_\_\_

Fax number, if applicable \_\_\_\_\_

E-mail address, if available \_\_\_\_\_

### 2. Agent for service

If you have appointed an agent for service, provide the following information for the agent in each province or territory where you have an agent for service. The address of your agent for service must be the same as the address for service above. If your agent for service is not an individual, provide the name of your contact person.

Name of agent for service: \_\_\_\_\_

Contact person: \_\_\_\_\_  
Last name, First name

## Item 8 Proficiency

### 1. Course or examination information and other education

Complete Schedule E to indicate each course and examination that is required for registration or approval and that you have successfully completed or have been exempted from.

☐ Check here if you are not required under securities legislation or derivatives legislation or both, or the rules of an SRO to satisfy any course or examination requirements.

### 2. Student numbers

If you have a student number for a course that you successfully completed with one of the following organizations, provide it below:

CSI Global Education (formerly Canadian Securities Institute): \_\_\_\_\_

IFSE Institute (formerly IFIC): \_\_\_\_\_

Institute of Canadian Bankers (ICB): \_\_\_\_\_

CFA Institute (formerly AIMR): \_\_\_\_\_

Advocis (formerly CAIFA): \_\_\_\_\_

### 3. Exemption refusal

Has any securities regulator, derivatives regulator or SRO refused to grant you an exemption from a course, examination or experience requirement?

Yes ☐ No ☐

If "Yes", complete Schedule F.

### Item 9 Location of employment

1. Provide the following information for your new sponsoring firm. If you will be working out of more than one location, provide the following information for the location out of which you will be doing most of your business.

NRD location number: \_\_\_\_\_

Unique Identification Number (optional) : \_\_\_\_\_

Business address: \_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

Telephone number: (\_\_\_\_) \_\_\_\_\_ Fax number: (\_\_\_\_) \_\_\_\_\_

2. If the firm has a foreign head office, and/or you are not a resident of Canada, provide the address for the location in which you will be conducting business.

Business address: \_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

Telephone number: (\_\_\_\_) \_\_\_\_\_ Fax number: (\_\_\_\_) \_\_\_\_\_

[The following under #3 "Type of location", #4 and #5 is for a Format other than NRD format only]

3. Type of location - for Format other than NRD format only:

☐ Head office ☐ Branch or Business Location ☐ Sub-branch

4. Name of branch manager: \_\_\_\_\_

5. ☐ Check here if the mailing address of the location is the same as the business address provided above. Otherwise, complete the following:

Mailing address: \_\_\_\_\_  
(number, street, city, province, territory or state, country, postal code)

### Item 10 Current employment, other business activities, officer positions held and directorships

Complete a separate Schedule G for each of your current business and employment activities, including employment and business activities with your sponsoring firm and any employment and business activities outside your sponsoring firm. Also include all business related officer or director positions and any other equivalent positions held, whether you receive compensation or not.

#### **Item 11 Previous employment and other activities**

On Schedule H, complete your employment and other activities history for the past 10-years.

#### **Item 12 Resignations and terminations**

Have you ever resigned, been terminated or been dismissed for cause by an employer from a position following allegations that you:

1. Violated any statutes, regulations, rules or standards of conduct?

Yes ☐ No ☐

If "Yes", complete Schedule I Item 12.1.

2. Failed to appropriately supervise compliance with any statutes, regulations, rules or standards of conduct?

Yes ☐ No ☐

If "Yes", complete Schedule I Item 12.2.

3. Committed fraud or the wrongful taking of property, including theft?

Yes ☐ No ☐

If "Yes", complete Schedule I Item 12.3.

#### **Item 13 Regulatory disclosure**

##### **1. Securities and derivatives regulation**

- a) Other than a registration or permitted individual status that has been recorded under this NRD number, are you now, or have you ever been, registered or licensed with any securities regulator or derivatives regulator or both in any province, territory, state or country to trade in or advise on securities or derivatives or both?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.1(a).

- b) Have you ever been refused registration or a licence to trade in or advise on securities or derivatives or both in any province, territory state or country?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.1(b).

- c) Have you ever been denied the benefit of any exemption from registration provided in any securities or derivatives or both legislation or rules in any province, territory, state or country, other than what was disclosed in Item 8(3) of this form?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.1(c).

- d) Are you now, or have you ever been subject to any disciplinary proceedings or any order resulting from disciplinary proceedings under any securities legislation or derivatives legislation or both in any province, territory, state or country?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.1(d).

## 2. SRO regulation

- a) Other than an approval that has been recorded under this NRD number, are you now, or have you ever been, an approved person of an SRO or similar organization in any province, territory, state or country?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.2(a).

- b) Have you ever been refused approved person status by an SRO or similar organization in any province, territory, state or country?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.2(b).

- c) Are you now, or have you ever been, subject to any disciplinary proceedings conducted by any SRO or similar organization in any province, territory, state or country?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.2(c).

## 3. Non-securities regulation

- a) Are you now, or have you ever been, registered or licensed under any legislation which requires registration or licensing to deal with the public in any capacity other than to trade in or advise on securities or derivatives or both in any province, territory, state or country (e.g. insurance, real estate, accountant, lawyer, teacher)?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.3(a)

- b) Have you ever been refused registration or a licence under any legislation relating to your professional activities unrelated to securities or derivatives in any province, territory, state or country?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.3(b).

- c) Are you now, or have you ever been, a subject of any disciplinary actions conducted under any legislation relating to your professional activities unrelated to securities or derivatives in any province, territory, state or country?

Yes ☐ No ☐

If "Yes", complete Schedule J, Item 13.3(c).

## Item 14 Criminal disclosure

### Offences you must disclose

You must disclose all criminal offences committed in any province, territory, state or country. This includes, but is not limited to, criminal offences under federal statutes such as the *Criminal Code* (Canada), *Income Tax Act* (Canada), *the Competition Act* (Canada), *Immigration Act* (Canada) and the *Controlled Drugs and Substances Act* (Canada) (or its predecessor, the *Narcotic Control Act* (Canada)). This includes pleas or findings of guilt for impaired driving, which are *Criminal Code* (Canada) matters. If you have been found guilty of a criminal offence, you must disclose the offence even if you have been granted an absolute or conditional discharge.

With respect to questions 14.2 and 14.4, if you or your firm has been found guilty of a criminal offence, or participated in the Alternative Measures Program within the past three years, you must disclose that offence even if an absolute or conditional discharge has been granted, or the charge has been dismissed, withdrawn or stayed. Some exceptions apply to stayed charges, and the Alternative Measures Program which are outlined below.

If you do not disclose a criminal offence under any statute other than the *Young Offenders Act* (Canada) or the *Youth Criminal Justice Act* (Canada), regulators or, in Québec, the securities regulatory authority or self regulatory organization may treat it as a non-disclosure of material information.

### Offences you do not have to disclose

The appropriate response is “No” if any of the following circumstances apply.

You are not required to disclose:

- crimes for which you received an absolute or conditional discharge if the crime has been purged from the criminal records in accordance with the *Criminal Records Act* (Canada)
- speeding, parking violations or any offence for which a pardon has been granted under the *Criminal Records Act* (Canada) and the pardon has not been revoked
- stayed charges for summary conviction offences that have been stayed for six months or more
- stayed charges for indictable offences that have been stayed for a year or more, and
- offences under the *Young Offenders Act* (Canada) or the *Youth Criminal Justice Act* (Canada)

With respect to questions 14.2 and 14.4, you are not required to disclose an offence for which you or your firm was found guilty if you or the firm participated in the Alternative Measures Program more than three years ago for that offence.

1. Are there any outstanding or stayed charges against you alleging a criminal offence that was committed in any province, territory, state or country?

Yes ☐ No ☐

If “Yes”, complete Schedule K, Item 14.1.

2. Have you ever been found guilty, pleaded no contest to, or granted an absolute or conditional discharge from any criminal offence that was committed in any province, territory, state or country?

Yes ☐ No ☐

If “Yes”, complete Schedule K, Item 14.2.

3. To the best of your knowledge, are there any outstanding charges against any firm of which you were, at the time the criminal offence was alleged to have taken place in any province, territory, state or country, a partner, director, officer or major shareholder?

Yes ☐ No ☐

If “Yes”, complete Schedule K, Item 14.3.

4. To the best of your knowledge, has any firm, when you were a partner, officer, director or major shareholder, ever been found guilty, pleaded no contest to or granted an absolute or conditional discharge from a criminal offence that was committed in any province, territory, state or country?

Yes ☐ No ☐

If “Yes”, complete Schedule K, Item 14.4 .

### Item 15 Civil disclosure

1. Are there currently any outstanding civil actions alleging fraud, theft, deceit, misrepresentation or similar misconduct against you or a firm where you are or were a partner, director, officer or major shareholder in any province, territory, state or country?

Yes ☐ No ☐

If “Yes”, complete Schedule L, Item 15.1.

2. Have you or a firm where you are or were a partner, director, officer or major shareholder ever been a defendant or respondent in any civil proceeding in which fraud, theft, deceit, misrepresentation or similar misconduct is, or was, successfully established in a judgment in any province, territory, state or country?

Yes ☐ No ☐

If "Yes", complete Schedule L, Item 15.2.

## Item 16 Financial disclosure

### 1. Bankruptcy

Under the laws of any applicable jurisdiction, have you or has any firm when you were a partner, director, officer or major shareholder of that firm:

- a) Had a petition in bankruptcy issued or made a voluntary assignment in bankruptcy or any similar proceeding?

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.1(a).

- b) Made a proposal under any legislation relating to bankruptcy or insolvency or any similar proceeding?

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.1(b).

- c) Been subject to proceedings under any legislation relating to the winding up or dissolution of the firm, or under the *Companies' Creditors Arrangement Act* (Canada)?

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.1(c).

- d) Been subject to or initiated any proceedings, arrangement or compromise with creditors? This includes having a receiver, receiver-manager, administrator or trustee appointed by or at the request of creditors, privately, through court process or by order of a regulatory authority, to hold your assets.

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.1(d).

### 2. Debt obligations

Over the past 10 years, have you failed to meet a financial obligation of \$5,000 or more as it came due or, to the best of your knowledge, has any firm, while you were a partner, director, officer or major shareholder of that firm, failed to meet any financial obligation of \$5,000 or more as it came due?

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.2.

### 3. Surety bond or fidelity bond

Have you ever been refused for a surety or fidelity bond?

Yes ☐ No ☐

If "Yes", complete Schedule M, Item 16.3.

### 4. Garnishments, unsatisfied judgments or directions to pay



Has any federal, provincial, territorial, state authority or court ever issued any of the following against you regarding your indebtedness or, to the best of your knowledge, the indebtedness of a firm where you are or were a partner, director, officer or major shareholder:

	Yes	No
Garnishment	<input type="checkbox"/>	<input type="checkbox"/>
Unsatisfied judgment	<input type="checkbox"/>	<input type="checkbox"/>
Direction to pay	<input type="checkbox"/>	<input type="checkbox"/>

If "Yes", complete Schedule M, Item 16.4.

#### **Item 17 Ownership of securities and derivatives firms**

Are you now, or have you ever been, a partner or major shareholder of any firm (including your sponsoring firm) whose business is trading in or advising on securities or derivatives or both?

Yes ☐ No ☐

If "Yes", complete Schedule N.

#### **Item 18 Agent for service**

By submitting this form, you certify that in each jurisdiction of Canada where you have appointed an agent for service, you have completed the appointment of agent for service required in that jurisdiction.

#### **Item 19 Submission to jurisdiction**

By submitting this form, you agree to be subject to the securities legislation or derivatives legislation or both of each jurisdiction of Canada, and to the by-laws, regulations, rules, rulings and policies (collectively referred to as "rules" in this form) of the SROs to which you have submitted this form. This includes the jurisdiction of any tribunals or any proceedings that relate to your activities as a registrant or a partner, director or officer of a registrant under that securities legislation or derivatives legislation or both or as an Approved Person under SRO rules.

#### **Item 20 Notice of collection and use of personal information**

The personal information required under this form is collected on behalf of, and used by, the securities regulatory authorities in the jurisdictions set out in Schedule O to administer and enforce certain provisions of their securities legislation or derivatives legislation or both.

By submitting this form, the individual consents to the collection by the securities regulatory authorities of this personal information, and any police records, records from other government or non-governmental regulators or SROs, credit records and employment records about the individual that the securities regulatory authorities may need to complete their review of the information submitted in this form relating to the individual's continued fitness for registration or approval, if applicable, in accordance with the legal authority of the securities regulatory authorities while the individual is registered with or approved by it. Securities regulatory authorities may contact government and private bodies or agencies, individuals, corporations and other organizations for information about the individual.

If you have any questions about the collection and use of this information, contact the securities regulatory authority in any jurisdiction in which the required information is submitted. See Schedule O for details. In Québec, you can also contact the Commission d'accès à l'information at 1-888-528-7741 or visit its website at [www.cai.gouv.qc.ca](http://www.cai.gouv.qc.ca).

#### **SROs**

The principal purpose for the collection of personal information is to assess your suitability for registration or approval and to assess your continued fitness for registration or approval in accordance with the applicable securities legislation and the rules of the SROs.

By submitting this form, you authorize the SROs to which this form is submitted to collect any information from any source whatsoever. This includes, but is not limited to, personal confidential information about you that is otherwise protected by law such as, police, credit, employment, education and proficiency course completion records, and records from other government or non-governmental regulatory authorities, securities commissions, stock exchanges, or other SROs, private bodies, agencies,

individuals or corporations, as may be necessary for the SROs to complete their review of your form or continued fitness for registration or approval in accordance with their rules for the duration of the period you remain so registered or approved. You further consent to and authorize the transfer of confidential information between SROs, securities commissions or stock exchanges from whom you now, or may in the future, seek registration or approval, or with which you are currently registered or approved for the purpose of determining fitness or continued fitness for registration or approval or in connection with the performance of an investigation or other exercise of regulatory authority, whether or not you are registered with or approved by them.

By submitting this form, you certify that you understand the rules of the applicable SROs of which you are seeking registration or approval or of which your sponsoring firm is a member or participating organization. You also undertake to become conversant with the rules of any SROs of which you or your sponsoring firm becomes a member or participating organization. You agree to be bound by, observe and comply with these rules as they are from time to time amended or supplemented, and you agree to keep yourself fully informed about them as they are amended and supplemented. You submit to the jurisdiction of the SROs from whom you are seeking registration or approval, or of which your sponsoring firm is now or in the future becomes a member or participating organization and, wherever applicable, their Governors, Directors and Committees. You agree that any registration or approval granted pursuant to this form may be revoked, terminated or suspended at any time in accordance with the then applicable rules of the respective SROs. In the event of any such revocation or termination, you must terminate all activities which require registration or approval and, thereafter, not perform services that require registration or approval for any member of the SROs or any approved affiliated company or other affiliate of such member without obtaining the approval of or registration with the SROs, in accordance with their rules.

By submitting this form, you undertake to notify the SROs from whom you are seeking registration or approval or with which you are currently or may in the future be registered or approved of any material change to the information herein provided in accordance with their respective rules. You agree to the transfer of this form, without amendment, to other SROs in the event that at some time in the future you seek registration or approval from such other SROs.

You certify that you have discussed the questions in this form, together with this Agreement, with an Officer or Branch Manager of your sponsoring member firm and, to your knowledge and belief, the authorized Officer or Branch Manager was satisfied that you fully understood the questions and the terms of this Agreement. You further certify that your business activities that are subject to securities rules and derivatives rules or both will be limited strictly to those permitted by the category of your registration or approval.

#### **Item 21 Warning**

**It is an offence under securities legislation and/or derivatives legislation, including commodity futures legislation to give false or misleading information on this form.**

#### **Item 22 Certification**

##### **1. Certification - NRD format**

I confirm I have discussed the questions in this form with an officer, branch manager or supervisor of my sponsoring firm. To the best of my knowledge, the officer, branch manager or supervisor was satisfied that I fully understood the questions. I will limit my activities to those permitted by my category of registration.

☐ I am making this submission as agent for the individual identified in this form. By checking this box, I certify that the individual provided me with all of the information on this form.

##### **2. Certification - Format other than NRD format**

###### **Individual**

By signing below, I certify to the regulator, or in Québec the securities regulatory authority, in each jurisdiction where I am filing or submitting this form, either directly or through the principal regulator, that:

- I have read this form and understand the questions, and
- all of the information provided on this form is true, and complete.

Signature of individual \_\_\_\_\_ Date \_\_\_\_\_

###### **Authorized partner or officer of the firm**

By signing below, I certify to the regulator, or in Québec the securities regulatory authority, in each jurisdiction where I am submitting this form, either directly or through the principal regulator, for the individual that:

- the individual identified in this form will be engaged by the sponsoring firm as a registered individual or a permitted individual, and
- I have, or a branch manager, or supervisor, or another officer or partner has, discussed the questions set out in this form with the individual and, to the best of my knowledge, the individual fully understands the questions.

Name of firm \_\_\_\_\_

Name of authorized signing officer or partner \_\_\_\_\_

Title of authorized signing officer or partner \_\_\_\_\_

Signature of authorized signing officer or partner \_\_\_\_\_

Date signed \_\_\_\_\_  
(YYYY/MM/DD)

**SCHEDULE A**  
**Names (Item 1)**

**Item 1.2 Other personal names**

**Name 1:**

Last name	First name	Second name (N/A <input type="checkbox"/> )	Third name (N/A <input type="checkbox"/> )
-----------	------------	---	--

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname)?  
\_\_\_\_\_

When did you use this name?

From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**Name 2:**

Last name	First name	Second name (N/A <input type="checkbox"/> )	Third name (N/A <input type="checkbox"/> )
-----------	------------	---	--

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname)?  
\_\_\_\_\_

When did you use this name?

From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**Name 3:**

Last name	First name	Second name (N/A <input type="checkbox"/> )	Third name (N/A <input type="checkbox"/> )
-----------	------------	---	--

Provide the reasons for the use of this name (for example, marriage, divorce, court order, commonly used name or nickname)?  
\_\_\_\_\_

When did you use this name?

From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**Item 1.3 Use of other names**

**Name 1:**

Name: \_\_\_\_\_

Provide the reasons for the use of this other name (for example, trade name or team name)? : \_\_\_\_\_

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes ☐ No ☐

When did you use this name?

From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**Name 2:**

Name: \_\_\_\_\_

Provide the reasons for the use of this other name (for example, trade name or team name):

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes ☐ No ☐

When did you use this name?

From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**Name 3:**

Name: \_\_\_\_\_

Provide the reasons for the use of this other name (for example, trade name or team name):

If this other name is or was used in connection with any sponsoring firm, did the sponsoring firm approve the use of the name?

Yes ☐ No ☐

When did you use this name?

From:

To:

\_\_\_\_\_  
(YYYY/MM)

\_\_\_\_\_  
(YYYY/MM)

**SCHEDULE B**  
**Residential address (Item 2)**

**Item 2.1 Current and previous residential addresses**

If you have lived at your current address for less than 10 years, list all previous addresses for the past 10 years.

You do not have to include a postal code or ZIP code, or a telephone number for any previous address.

**Address 1:**

Residential address: \_\_\_\_\_  
(number, street, city, province, territory or state, country)

When did you live at this address?	From:	To:
	_____	_____
	(YYYY/MM)	(YYYY/MM)

**Address 2:**

Residential address: \_\_\_\_\_  
(number, street, city, province, territory or state, country)

When did you live at this address?	From:	To:
	_____	_____
	(YYYY/MM)	(YYYY/MM)

**Address 3:**

Residential address: \_\_\_\_\_  
(number, street, city, province, territory or state, country)

When did you live at this address?	From:	To:
	_____	_____
	(YYYY/MM)	(YYYY/MM)

**SCHEDULE C**  
**Individual Categories (Item 6)**

Check each category for which you are seeking registration, approval or review as a permitted individual.

**Categories common to all jurisdictions under securities legislation**

***Firm categories [Format other than NRD format only]***

- ☐ Investment Dealer
- ☐ Mutual Fund Dealer
- ☐ Scholarship Plan Dealer
- ☐ Exempt Market Dealer
- ☐ Restricted Dealer
- ☐ Portfolio Manager
- ☐ Restricted Portfolio Manager
- ☐ Investment Fund Manager

***Individual categories and permitted activities***

- ☐ Dealing Representative
- ☐ Advising Representative
- ☐ Associate Advising Representative
- ☐ Ultimate Designated Person
- ☐ Chief Compliance Officer
- ☐ Officer – Specify title:
- ☐ Director
- ☐ Partner
- ☐ Shareholder
- ☐ Branch Manager (MFDA members only)
- ☐ IIROC approval only

**Investment Industry Regulatory Organization of Canada**

***Approval categories***

- ☐ Executive
- ☐ Director (Industry)
- ☐ Director (Non-Industry)
- ☐ Supervisor
- ☐ Investor
- ☐ Registered Representative
- ☐ Investment Representative
- ☐ Trader

***Additional approval categories***

- ☐ Chief Compliance Officer

- ☐ Chief Financial Officer
- ☐ Ultimate Designated Person

**Products**

- ☐ Non-Trading
- ☐ Securities
- ☐ Options
- ☐ Futures Contracts and Futures Contract Options
- ☐ Mutual Funds only

**Customer type**

- ☐ Retail
- ☐ Institutional
- ☐ Not Applicable

**Portfolio management**

- ☐ Portfolio Management

**Categories under local commodity futures and derivatives legislation**

**Ontario**

***Firm categories***

- ☐ Commodity Trading Adviser
- ☐ Commodity Trading Counsel
- ☐ Commodity Trading Manager
- ☐ Futures Commission Merchant

***Individual categories and permitted activities***

- ☐ Advising Representative
- ☐ Salesperson
- ☐ Branch Manager
- ☐ Officer – Specify title:
- ☐ Director
- ☐ Partner
- ☐ Shareholder
- ☐ IIROC approval only

**Manitoba**

***Firm categories***

- ☐ Dealer (Merchant)
- ☐ Dealer (Futures Commission Merchant)
- ☐ Dealer (Floor Broker)



☐ Adviser

☐ Local

***Individual categories and permitted activities***

☐ Floor Trader

☐ Salesperson

☐ Branch Manager

☐ Adviser

☐ Officer – Specify title:

☐ Director

☐ Partner

☐ Futures Contracts Portfolio Manager

☐ Associate Futures Contracts Portfolio Manager

☐ IIROC approval only

☐ Local

**Québec - activities relating to derivatives**

***For information purposes, indicate whether you will carry on activities as a representative of:***

☐ An Investment Dealer Acting as a Derivatives Dealer

☐ A Portfolio Manager Acting as a Derivatives Portfolio Manager



**SCHEDULE D**  
**Address and agent for service (Item 7)**

**Item 7.1      Address for service**

You must have one address for service in each province or territory in which you are now, or are seeking to become, a registered individual or permitted individual. A post office box is not an acceptable address for service.

Address for service: \_\_\_\_\_  
(number, street, city, province or territory, postal code)

Telephone number: (\_\_\_\_) \_\_\_\_\_ Fax number: (\_\_\_\_) \_\_\_\_\_

E-mail address: \_\_\_\_\_

**Item 7.2      Agent for service**

If you have appointed an agent for service, provide the following information about the agent. The address for service provided above must be the address of the agent named below.

Name of agent for service: \_\_\_\_\_

*(if applicable)*

Contact person: \_\_\_\_\_  
Last name, First name

**SCHEDULE E**  
**Proficiency (Item 8)**

**Item 8.1      Course or examination information and other education**

<b>Course or examination or other education</b>	<b>Date completed (YYYY/MM/DD)</b>	<b>Date exempted (YYYY/MM/DD)</b>	<b>Regulator / securities regulatory authority granting the exemption</b>

**SCHEDULE F**  
**Proficiency (Item 8.3)**

**Item 8.3      Exemption refusal**

Complete the following for each exemption that was refused.

1. Which securities regulator, derivatives regulator or SRO refused to grant the exemption?

---

State the name of the course, examination or experience requirement:

---

State the reason given for not being granted the exemption:

---

Date exemption refused: \_\_\_\_\_  
(YYYY/MM/DD)

2. Which securities regulator, derivatives regulator or SRO refused to grant the exemption?

---

State the name of the course, examination or experience requirement:

---

State the reason given for not being granted the exemption:

---

Date exemption refused: \_\_\_\_\_  
(YYYY/MM/DD)

3. Which securities regulator, derivatives regulator or SRO refused to grant the exemption?

---

State the name of the course, examination or experience requirement:

---

State the reason given for not being granted the exemption:

---

Date exemption refused: \_\_\_\_\_  
(YYYY/MM/DD)

**SCHEDULE G**  
**Current employment, other business activities, officer positions held and directorships**  
**(Item 10)**

Complete a separate Schedule G for each of your current business and employment activities with your sponsoring firm and with all other organizations. This includes any business related officer or director positions held, or any other equivalent positions held, whether you receive compensation or not.

**1. Start date** \_\_\_\_\_  
(YYYY/MM/DD)

**2. Firm information**

☐ Check here if this activity is employment with your sponsoring firm.

If the activity is with your sponsoring firm, you are not required to indicate the firm name and address information below:

Name of business or employer: \_\_\_\_\_

Address of business or employer: \_\_\_\_\_  
(number, street, city, province, territory or state, country)

Name and title of your immediate supervisor: \_\_\_\_\_

**3. Description of duties**

Describe all employment and business activities related to this employer. Include the nature of the business and your duties, title or relationship with the business. If you are seeking registration that requires specific experience, include details with this firm such as level of responsibility, value of accounts under direct supervision, number of years of experience, and percentage of time spent on each activity.

---

**4. Number of work hours per week**

How many hours per week do you devote to this business or employment? \_\_\_\_\_

If this activity is employment with your sponsoring firm and you work less than 30 hours per week, explain why.

---

**5. Conflicts of interest**

If you have more than one employer or are engaged in business related activities, disclose any potential for confusion by clients and any potential for conflicts of interest arising from your multiple employment or business related activities or proposed business related activities. Include whether or not any of your employers or organizations where you engage in business related activities are listed on an exchange. Confirm whether the firm has procedures for minimizing potential conflicts of interest and if so, confirm that you are aware of these procedures.

If you do not perceive any conflicts of interest arising from this employment, explain why.

---

**SCHEDULE H**  
**Previous employment and other activities (Item 11)**

Provide the following information for each of your employment and other activities in the past 10-years. Account for all of your time, including full-time and part-time employment, self-employment or military service. Include your status for each, such as unemployed, full-time student, or other similar statuses. Do not include short-term employment of four months or less while a student, unless it was in the securities, derivatives or financial industry.

In addition to the information required in the paragraph above, if you were employed or had business activities in the securities or derivatives industry or both during and before the 10-year period, disclose all your securities and derivatives or both employment or business activities (both before and during the 10-year period).

- ☐ Unemployed  
☐ Full-time student  
☐ Employed or self-employed

From: \_\_\_\_\_  
(YYYY/MM)

To: \_\_\_\_\_  
(YYYY/MM)

Complete the following only if you are, or were, employed or self-employed during this period.

Name of business or employer:

\_\_\_\_\_

Address of business or employer:

\_\_\_\_\_

(number, street, city, province, territory or state, country)

Name and title of immediate supervisor, if applicable:

\_\_\_\_\_

Describe the firm's business, your position, duties and your relationship to the firm. If you are seeking registration in a category of registration that requires specific experience, include details of that experience. Examples include level of responsibility, value of accounts under direct supervision, number of years of that experience and research experience, and percentage of time spent on each activity.

Reason why you left the firm:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**SCHEDULE I**  
**Resignations and terminations (Item 12)**

**Item 12.1**

For each allegation of violation of any statutes, regulations, rules or internal/external standards of conduct, state below (1) the name of the firm from which you resigned, were terminated or dismissed for cause, (2) whether you resigned, were terminated or dismissed for cause, (3) the date you resigned, were terminated or dismissed for cause, and (4) the circumstances relating to your resignation, termination or dismissal for cause.

---

**Item 12.2**

For each allegation of failure to supervise compliance with any statutes, regulations, rules or standards of conduct, state below, (1) the name of the firm from which you resigned, were terminated or dismissed for cause, (2) whether you resigned, were terminated or dismissed for cause, (3) the date you resigned, were terminated or dismissed for cause, and (4) the circumstances relating to your resignation, termination or dismissal for cause.

---

**Item 12.3**

For each allegation of fraud or the wrongful taking of property, including theft, state below (1) the name of the firm from which you resigned, were terminated or dismissed for cause, (2) whether you resigned, were terminated or dismissed for cause, (3) the date you resigned, were terminated or dismissed for cause, and (4) the circumstances relating to your resignation, termination or dismissal for cause.

---



**SCHEDULE J**  
**Regulatory disclosure (Item 13)**

**Item 13.1 Securities and derivatives regulation**

- a) For each registration or licence, state below (1) the name of the firm, (2) the securities or derivatives regulator with which you are, or were, registered or licensed, (3) the type or category of registration or licence, and (4) the period that you held the registration or licence.
- 
- b) For each registration or licence refused, state below (1) the name of the firm, (2) the securities or derivatives regulator that refused the registration or licence, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.
- 
- c) For each exemption from registration denied or licence refused, *other than what was disclosed in Item 8(3) of this form*, state below (1) the party that was refused the exemption from registration or licence, (2) the securities or derivatives regulator that refused the exemption from registration or licence, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.
- 
- d) For each order or disciplinary proceeding, state below (1) the name of the firm, (2) the securities or derivatives regulator that issued the order or is conducting or conducted the proceeding, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), (6) whether you are or were a partner, director, officer or major shareholder of the firm and named individually in the order or disciplinary proceeding, and (7) any other relevant details.
- 

**Item 13.2 SRO regulation**

- a) For each approval, state below (1) the name of the firm, (2) the SRO with which you are or were an approved person, (3) the categories of approval, and (4) the period that you held the approval.
- 
- b) For each approval refused, state below (1) the name of the firm, (2) the SRO that refused the approval, (3) the category of approval refused, (4) the date of the refusal, and (5) the reasons for the refusal.
- 
- c) For each order or disciplinary proceeding, state below (1) the name of the firm, (2) the SRO that issued the order or that is, or was, conducting the proceeding, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), (6) whether you are or were a partner, director, officer or major shareholder of the firm and named individually in the order or disciplinary proceeding, and (7) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.
- 

**Item 13.3 Non-securities regulation**

- a) For each registration or licence, state below (1) the party who is, or was, registered or licensed (if insurance licensed, also indicate the name of the insurance agency), (2) with which regulatory authority, or under what legislation, the party is, or was, registered or licensed, (3) the type or category of registration or licence, and (4) the period that the party held the registration or licence.
-

- b) For each registration or licence refused, state below (1) the party that was refused registration or licensing (if insurance licensed, also indicate the name of the insurance agency), (2) with which regulatory authority, or under what legislation, the registration or licence was refused, (3) the type or category of registration or licence refused, (4) the date of the refusal, and (5) the reasons for the refusal.

---

- c) For each order or disciplinary proceeding, indicate below (1) the party against whom the order was made or the proceeding taken (if insurance licensed, indicate the name of the insurance agency), (2) the regulatory authority that made the order or that is, or was, conducting the proceeding, or under what legislation the order was made or the proceeding is being, or was conducted, (3) the date any notice of proceeding was issued, (4) the date any order or settlement was made, (5) a summary of any notice, order or settlement (including any sanctions imposed), (6) whether you are or were a partner, director, officer or major shareholder of the firm and named individually in the order or disciplinary proceeding and (7) any other information that you think is relevant or that the regulatory authority may request.

---

**SCHEDULE K**  
**Criminal disclosure (Item 14)**

**Item 14.1**

For each charge, state below (1) the type of charge, (2) the date of the charge, (3) any trial or appeal dates, and (4) the court location.

---

**Item 14.2**

For each finding of guilty, pleading no contest to, or granting of an absolute or conditional discharge from a criminal offence state below (1) the offence, (2) the date found guilty, and (3) the disposition (any penalty or fine and the date any fine was paid).

---

**Item 14.3**

For each charge, state below (1) the name of the firm, (2) the type of charge, (3) the date of the charge, (4) any trial or appeal dates, and (5) the court location.

---

**Item 14.4**

For each finding of guilty, pleading no contest to, or granting of an absolute or conditional discharge from a criminal offence state below (1) the name of the firm, (2) the offence, (3) the date of the conviction, and (4) the disposition (any penalty or fine and the date any fine was paid).

---

**SCHEDULE L**  
**Civil disclosure (Item 15)**

**Item 15.1**

For each outstanding civil proceeding, state below (1) the dates the statement of claim and statement of defence were issued, (2) the name of the plaintiff(s) in the proceeding, (3) whether the proceeding is pending or on appeal, (4) whether the proceeding was against a firm where you are, or were, a partner, director, officer or major shareholder and whether you have been named individually in the allegations, and (5) the jurisdiction where the action is being pursued.

---

**Item 15.2**

For each civil proceeding, state below (1) the dates the statement of claim and statement of defence were issued, (2) each plaintiff in the proceeding, (3) the jurisdiction where the action was pursued, (4) whether the proceeding was about a firm where you are, or were, a partner, director, officer or major shareholder and whether you have been named individually in the allegations and (5) a summary of any disposition or any settlement over \$10,000. You must disclose any actions settled without admission of liability.

---

**SCHEDULE M**  
**Financial Disclosure (Item 16)**

**Item 16.1 Bankruptcy**

- (a) For each event, state below (1) the date of the petition or voluntary assignment, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, (7) date of discharge or release, if applicable, and (8) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

---

- (b) For each event, state below (1) the date of the proposal, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

---

- (c) For each event, state below (1) the date of the proceeding, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

---

- (d) For each proceeding, arrangement or compromise with creditors, state below (1) the date of proceeding, (2) the person or firm about whom this disclosure is being made, (3) any amounts currently owing, (4) the creditors, (5) the status of the matter, (6) a summary of any disposition or settlement, and (7) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

---

**Item 16.2 Debt obligation**

For each event, state below (1) the person or firm that failed to meet its financial obligation, (2) the amount that was owing at the time the person or firm failed to meet its financial obligation, (3) the person or firm to whom the amount is, or was, owing, (4) any relevant dates (for example, when payments are due or when final payment was made), (5) any amounts currently owing, and (6) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request, including why obligation has not been met/satisfied.

---

**Item 16.3 Surety bond or fidelity bond**

For each bond refused, state below (1) the name of the bonding company, (2) the address of the bonding company, (3) the date of the refusal, and (4) the reasons for the refusal.

---

**Item 16.4 Garnishments, unsatisfied judgments or directions to pay**

For each garnishment, unsatisfied judgment or direction to pay regarding your indebtedness, indicate below (1) the amount that was owing at the time the garnishment, judgment or direction to pay was rendered, (2) the person or firm to whom the amount is, or was, owing, (3) any relevant dates (for example, when payments are due or when final payment was made), (4) the percentage of earnings to be garnished or the amount to be paid, (5) any amounts currently owing, and (6) any other information that you think is relevant or that the regulator or, in Québec, the securities regulatory authority may request.

---

**SCHEDULE N**  
**Ownership of securities and derivatives firms (Item 17)**

Firm name:

What is your relationship to the firm? Partner ☐ Major shareholder ☐

What is the period of this relationship?

From:	To:	<i>(if applicable)</i>
<hr style="width: 100%;"/>	<hr style="width: 100%;"/>	
(YYYY/MM)	(YYYY/MM)	

Provide the following information:

- a) State the number, value, class and percentage of securities, or the amount of partnership interest you own or propose to acquire when you are registered or approved as a result of the review of this form. If acquiring shares when you are so approved or registered, state the source (for example, treasury shares, or if upon transfer, state name of transferor).

---

- b) State the market value (approximate, if necessary) of any subordinated debentures or bonds of the firm to be held by you or any other subordinated loan to be made by you to the firm:

---

- c) If another person or firm has provided you with funds to invest in the firm, provide the name of the person or firm and state the relationship between you and that person or firm:

---

- d) Are the funds to be invested (or proposed to be invested) guaranteed directly or indirectly by any person or firm?

Yes ☐ No ☐

If "Yes", provide the name of the person or firm and state the relationship between you and that person or firm:

---

- e) Have you directly or indirectly given up any rights relating to these securities or this partnership interest, or do you, when you are registered or approved as a result of the review of this form, intend to give up any of these rights (including by hypothecation, pledging or depositing as collateral the securities or partnership interest with any firm or person)?

Yes ☐ No ☐

If "Yes", provide the name of the person or firm, state the relationship between you and that person or firm and describe the rights that have been or will be given up: \_\_\_\_\_

- f) Is a person other than you the beneficial owner of the shares, bonds, debentures, partnership units or notes held by you?

Yes ☐ No ☐

If "Yes", complete (g), (h) and (i).

- g) Name of beneficial owner:

<hr style="width: 100%;"/>	<hr style="width: 100%;"/>	<hr style="width: 100%;"/>	<hr style="width: 100%;"/>
Last name	First name	Second name <i>(if applicable)</i>	Third name <i>(if applicable)</i>

- h) Residential address:

---

(number, street, city, province, territory or state, country, postal code)

i) Occupation:

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**Schedule O**  
**Contact information for**  
**Notice of collection and use of personal information**

**Alberta**

Alberta Securities Commission,  
4th Floor, 300 - 5th Avenue SW  
Calgary, AB T2P 3C4  
Attention: Information Officer  
Telephone: (403) 355-4151

**British Columbia**

British Columbia Securities Commission  
P.O. Box 10142, Pacific Centre  
701 West Georgia Street  
Vancouver, BC V7Y 1L2  
Attention: Freedom of Information Officer  
Telephone: (604) 899-6500 or (800) 373-6393 (in BC)

**Manitoba**

The Manitoba Securities Commission  
500 - 400 St. Mary Avenue  
Winnipeg, MB R3C 4K5  
Attention: Director of Registrations  
Telephone (204) 945-2548  
Fax (204) 945-0330

**New Brunswick**

New Brunswick Securities Commission  
Suite 300, 85 Charlotte Street  
Saint John, NB E2L 2J2  
Attention: Director, Regulatory Affairs  
Telephone: (506) 658-3060

**Newfoundland and Labrador**

Securities NL  
Financial Services Regulation Division  
Department of Government Services  
P.O. Box 8700, 2nd Floor, West Block  
Confederation Building  
St. John's, NL A1B 4J6  
Attention: Manager of Registrations  
Tel: (709) 729-5661

**Nova Scotia**

Nova Scotia Securities Commission  
2nd Floor, Joseph Howe Building  
1690 Hollis Street  
P.O. Box 458  
Halifax, NS B3J 2P8  
Attention: Deputy Director, Capital Markets  
Telephone: (902) 424-7768

**Northwest Territories**

Government of the Northwest Territories  
P.O. Box 1320  
Yellowknife, NWT X1A 2L9  
Attention: Deputy Superintendent of Securities  
Telephone: (867) 920-8984

**Nunavut**

Legal Registries Division  
Department of Justice  
Government of Nunavut  
P.O. Box 1000 Station 570  
Iqaluit, NU X0A 0H0  
Attention: Deputy Registrar of Securities  
Telephone: (867) 975-6590

**Ontario**

Ontario Securities Commission  
Suite 1903, Box 55  
20 Queen Street West  
Toronto, ON M5H 3S8  
Attention: FOI Coordinator  
Telephone: (416) 593-8314

**Prince Edward Island**

Securities Registry  
Office of the Attorney General B Consumer, Corporate and  
Insurance Services Division  
P.O. Box 2000  
Charlottetown, PE C1A 7N8  
Attention: Deputy Registrar of Securities  
Telephone: (902) 368-6288

**Québec**

Autorité des marchés financiers  
800, square Victoria, 22e étage  
C.P. 246, tour de la Bourse  
Montréal (Québec) H4Z 1G3  
Attention: Responsable de l'accès à l'information  
Telephone: (514) 395-0337 or (877) 525-0337 (in Québec)

**Saskatchewan**

Saskatchewan Financial Services Commission  
Suite 601, 1919 Saskatchewan Drive  
Regina, SK S4P 4H2  
Attention: Director  
Telephone: (306) 787-5842

**Yukon**

Yukon Securities Office  
Department of Community Services  
P.O. Box 2703 C-6  
Whitehorse, YT Y1A 2C6  
Attention: Superintendent of Securities  
Telephone: (867) 667-5225

**Self-regulatory organization**

Investment Industry Regulatory Organization of Canada  
121 King Street West, Suite 1600  
Toronto, Ontario M5H 3T9  
Attention: Privacy Officer  
Telephone: (416) 364-6133  
E-mail: PrivacyOfficer@iirc.ca





## **NRD ENROLMENT AND USER FEES**

### **Article III. Introduction**

The NRD administrator will charge firms a fee to enroll in NRD and user fees for some NRD submissions. For the convenience of registrants and applicants for registration, the fees required by the NRD administrator are set out below. NRD enrolment and user fees cover the cost of developing and operating NRD.

NRD fees are subject to goods and services tax or GST (CDS INC. GST No. # 892971631RT) and are in addition to the registration fees that are payable by registrants and applicants for registration to securities regulatory authorities and the Investment Industry Regulatory Organization.

#### **(a) Enrolment fees**

To enrol to use NRD, firms must pay a one-time enrolment fee by cheque to the NRD administrator. The cheque must be payable to “CDS INC.” and must accompany the NRD enrolment forms and any documents filed in support of enrolment (e.g., a void cheque, articles of incorporation). This enrolment package must be submitted to CDS INC. (Attention: NRD administrator) at 85 Richmond Street West, Toronto, ON M5H 2C9. The NRD enrolment forms are available in editable form at the website addresses [www.nrd-info.ca](http://www.nrd-info.ca) and [www.nrd.ca](http://www.nrd.ca).

Firms are charged a \$500 + GST enrolment fee.

#### **(b) NRD user fees**

In addition to the initial enrolment fee, firms will be charged NRD user fees annually and with specified NRD submissions. These fees are paid through NRD by pre-authorized debit from the firm’s NRD account.

(c) **Annual NRD user fees**

On December 31 of each year, each firm will be charged an annual NRD user fee for use of NRD for the following year.

A firm's annual NRD user fee is calculated as follows:

- \$75 for each registered and permitted individual sponsored by the firm in a single NRD jurisdiction; and
- \$50 for each additional NRD jurisdiction in which an individual is sponsored (to a maximum of five additional jurisdictions, for a total of \$250).

**EXAMPLES:**

- If an individual is a registered individual in three NRD jurisdictions, the firm's annual NRD user fee for that individual is \$175 + GST.
- If an individual is a permitted individual in 12 NRD jurisdictions, the firm's annual NRD user fee for that individual is \$325 + GST.

**NRD submission fees**

NRD submission fees are payable when making one of the following submissions:

- Initial Registration;
- Reactivation of Registration; and
- Registration in an Additional Jurisdiction.

NRD submission fees are calculated as follows:

- \$75 for a Form 33-109F4 submitted to one jurisdiction; and
- \$50 for each additional jurisdiction to which the Form 33-109F4 is submitted (to a maximum of 5 additional jurisdictions for a total of \$250).

**EXAMPLES:**

- The submission fee for an individual applying for registration in three jurisdictions is \$175 + GST.
- The submission fee for an individual applying for registration in all 12 NRD jurisdictions is \$325 + GST.